

UNIVERSITY OF TAMPERE

School of Management

BUILDING THE MONITORING AND EVALUATION INDICATOR SET FOR  
EFFECTIVE IMPLEMENTATION OF SUPPORTING SCHEME TO POOR  
HOUSEHOLDS IN IMPROVING LABOUR EXPORT CONTRIBUTING TO  
SUSTAINABLE POVERTY REDUCTION

Supervisor(s): Prof. Lasse Oulasvirta

Student: Ngoc Toan, LE

September, 2018

## TABLE OF CONTENTS

TABLE OF CONTENTS .....	2
LIST OF TABLES, FIGURES AND BOXES .....	4
TABLES .....	4
FIGURES .....	4
BOXES .....	4
I. INTRODUCTION .....	5
1.1. Context .....	5
1.2. Literature review .....	6
1.3. Objective .....	9
1.4. Research object and scope.....	9
1.5. Method .....	9
II. THEORETICAL BASIS OF MONITORING AND EVALUATION INDICATORS.....	10
2.1. Concepts .....	11
2.2. Principle in monitoring and evaluation .....	15
2.3. Process of designing monitoring and evaluation.....	16
2.4. General experience in using indicators set monitoring and evaluation of some programs, schemes and lesson learned.....	20
III. EVALUATING OF THE SCHEME NO. 71 CRITERIA AND MONITORING SYSTEM IN PRACTICE.....	29
3.1. Introduction of the Scheme .....	29
3.2. Implementation status and results .....	34
3.3. Current status of monitoring, evaluation of the scheme in recent time.....	39
3.4. Shortcomings.....	41
IV. ANALYTICAL METHODS AND DATA COLLECTION.....	41
V. BUILDING THE SET OF INDICATORS FOR MONITORING AND EVALUATING “THE SUPPORTING SCHEME TO POOR DISTRICTS IN PROMOTING LABOUR EXPORT IN THE PERIOD OF 2009 - 2020”.....	44
5.1. Objectives, requirements and principles for developing indicator set .....	44
5.2. Monitoring indicators .....	45
5.3. Conditions to apply indicator set.....	45

VI. SOLUTION IN THE APPLICATION OF INDICATOR SET .....	47
6.1. For building and directing the implementation of monitoring and evaluation .....	47
6.2. Organization and state management of labour export.....	48
6.3. Organize the implementation and application of the monitoring and evaluation indicator set of the scheme.....	49
VII. CONCLUSION.....	49
Appendix 1 .....	53
Appendix 2 .....	70
Appendix 3 .....	71
Appendix 4.1 .....	78
Appendix 4.2 .....	81
Appendix 4.3 .....	87
LIST OF REFERENCES .....	88

## **LIST OF TABLES, FIGURES AND BOXES**

### **TABLES**

Table 2.1. Criteria for evaluating the monitoring and evaluation indicators .....	14
Table 2.2. Principles in monitoring and evaluation .....	16
Table 2.3. Indicators related to regular social assistance in the national statistical indicator system .....	21
Table 3.1. The rate of workers participating in the Scheme's activities (%) .....	37
Table 4.1. The results of testing indicator set .....	45
Table 4.2. Indicator set of outputs, results .....	45

### **FIGURES**

Figure 2.1. Monitor stages of the Scheme .....	11
Figure 2.2. Process of designing to monitor scheme .....	17
Figure 2.3. Process of designing evaluation .....	19
Figure 3.1. Process of sending workers to work overseas under the Scheme 71 .....	33
Figure 3.2. Monitoring and evaluation process of the scheme .....	40

### **BOXES**

Box 3.1. There are some difficulties for enterprises to access the scheme .....	34
Box 3.2. Interview with staff on the implementation of the Scheme 71 .....	35
Box 3.3. Implementation results of the scheme in Thanh Hoa province .....	36
Box 3.4. Strengthening the monitoring and supervision of the Scheme 71 .....	37
Box 3.5. Interview labour export experts .....	38

## I. INTRODUCTION

### 1.1. Context

“The Supporting Scheme to poor districts in promoting labour export for sustainable poverty reduction in the period 2009-2020” (hereinafter referred as the Scheme) was approved by the Prime Minister in Decision No.71/2009/QĐ-TTg dated 29/04/2009 with the objective of “Improving the labour quality and increasing the number of workers in the poor districts participating in labour export, contributing to job creation, income generation and sustainable poverty reduction”.

This is one of the policies of the Resolution No.30a/2008/NQ-CP<sup>1</sup> to create strong socio-economic changes, improve the living standards in poor districts, narrowing down the gap in living standards across regions, implementing the sustainable poverty reduction.

According to the report of the Department of Overseas Labour<sup>2</sup>, after more than 6 years of implementing the Scheme, there are more than 40 enterprises participated in with over 500 labour supply contracts; mover than 40,000 workers from poor district registered for the Scheme, of which, nearly 20,000 workers get vocational training, foreign languages, necessary knowledge, nearly 15,000 workers are employed in Malaysia, UAE, South Korea, Japan, Arabia Saudi, Taiwan, etc., that workers from poor households and ethnic minorities accounted for around 95%; 60 in 64 poor districts have workers go to work overseas (WO).

In general, workers from poor district go to WO have stable jobs and income, the average income of workers in Libyan, UEA, Arabia Saudi, Macao is 6.5-7.5 million dong/month, 5-7 million dong/month in Malaysia and 15-22 million dong/month in South Korea and Japan.

However, the results of the Scheme in the last few years still have some limitations: the number of workers joins the Scheme is still low in comparison with the labour source of 64 poor districts<sup>3</sup>; only 43.6% of workers participating in training are exported; the number of worker go WO reaches only 30% of the Scheme target; support for workers in improving educational level to go WO has not been implemented (workers have no need and do not register to join); the preferential credit policy for vocational training institutions for workers to WO have not been implemented; the support for workers in living cost, accomdation and travelling fee is lower than actual need, there is no binding mechanism with enterprises, etc.

By now, the monitoring and evaluation are mainly based on reports from subordinates with the content (indicators) of reports have not covered all activities of the Scheme, delayed in report, etc., there is no effective tool for monitoring and assessing.

- The Scheme no.71 has been implemented for many years (from April 2009), so it is necessary to have a set of indicators to monotor, assess the current status to identify the strengths, weaknesses, limitations and causes to develop appropriate solutions for timely adjustment and amendment to enhace the effectiveness of the Scheme.

---

<sup>1</sup> The Resolution No.30a/2008/NQ-CP dated 27/12/2008 of the Government on the Support Program for fast and sustainable poverty reduction in 61 poor districts.

<sup>2</sup> Report on the Implementation of Decision No.71/2009/QĐ-TTg dated 29/04/2009 of the Prime Minister on approving the Supporting Scheme to poor districts in promoting labour export for sustainable poverty reduction in the period of 2009-2020

<sup>3</sup> The population of these 64 districts is about 2.4 million, of which 1.3 million are in working age.

- Using the set of indicators to track the progress as well as the results in different aspects, at all stages (input, process, output, results and impacts) of the current Scheme, to control the situation.

- Through monitoring, policymakers can know: whether policies in the Scheme help the labour export better or not? What is the lesson learned?

- Feedback from monitoring, evaluation helps policymakers, managers and stakeholders to identify the shortcomings, limitations, inappropriate practices of the current Scheme, and then for amendment, supplement to complete policies.

- The monitoring results provide feedback on the inadequacies in the organizational mechanism, implementation of the Scheme activities, from that to have appropriate adjustment in organizational model.

- From the organizing, deploying and using the monitoring and evaluation indicators, the information and communication will be established regularly, timely in a system from the Central to grassroots level and vice versa.

- Information will be obtained from using the monitoring and evaluation indicators, including information from localities, effective model in supporting the poor to WO. This is precious sources to share experience and replicate the model for other localities.

- Through monitoring and evaluation, the achievements, limitations and causes (due to the regulation of programs or due to the organizations in charge of implementing) will be found to make appropriate adjustment decisions.

Therefore, the set of indicators helps us to get feedback from the interventions of the Scheme, are those interventions implemented as planned? What is impact of those interventions? Is there any difference in implementing interventions in different areas? Who are the beneficiaries of those interventions? Etc.

It is necessary to develop the monitoring and evaluation indicators set to have toolkit for collecting and providing regular, continuous, realistic and objective feedback in details on the implementation and results at all stages of the Scheme. This will be the basis for analyzing, assessing and pointing out the achievements, limitations, thereby helping the authorities to control the organization and implementation of each stage through making appropriate and timely decisions.

## **1.2. Literature review**

(1). The report “*How to develop the monitoring and evaluation system to complete the Governance*” (2008), WorldBank has pointed out that countries are increasingly strengthening the monitoring and evaluation system. These monitoring and evaluation systems measure and assess the quality and quantity as well as objectives of public goods and services delivery - the products of the State apparatus. This system also help to understand the causes of low or high effectiveness of the State apparatus. This research has in-depth analysis of the way to use the monitoring and evaluation (M&E) to improve the State capacity. One of them is using information to allocate budget, analyze the role of civic organizations in order to measure, evaluate and encourage the Government to self-complete its institution. Additionally, the report

outlines the experiences of some countries that have successfully implemented indicators for monitoring and evaluation from policy development, application and recommendations. Particularly, the research analyzes in depth the case of Africa. This is one of the world's top concerns and by now, it has attracted a significant amount of support for building human capacity. In the development process of poverty reduction, governments begin to make plans to strengthen the M&E control.

(2) The research on ***“Developing the monitoring and evaluation system of the Social assistance system strengthening project in Vietnam”*** (2010) of the Institute of Labour Science and Social Affairs analyzes clearly the framework for monitoring and evaluating of the project, M&E indicators such as: indicators at the project development objective from the national database; the MIS system, research identifies the output parameters (evaluation indicators), objectives, meaning, information collection level, information collection frequency, etc.

(3) The research ***“Monitoring and evaluation system of social assistance”*** (2015) of the Institute of Labour Science and Social Affairs provides a set of monitoring and evaluation indicators on social assistance such as: general indicators, indicators by targeted groups, indicators on access to basic social services of beneficiaries, indicators for evaluating households' economy of beneficiaries, poverty rate, indicators at household level and individual level, etc.

(4) The research of Dr. Tran Van Hang (1996): ***“Solutions to reform the State management on labour export in Vietnam in the period of 1995-2010”***. The doctoral thesis majoring in economics, management and national planning clarifies issues related to the State management on labour export in the market mechanism, analyzes the current status of the State management on labour export, gives lessons learned from practices of labour export in Vietnam and proposes opinions, solutions for reforming the State management on labour export.

(5) The research of Dr. Tran Thi Thu (2006): ***“Improving the efficiency of labour export management in enterprises under current conditions”***. The research is implemented on the basis of evaluating the labour export activities in International Manpower Supply and Trade Company Ltd (SONA) and some enterprises to clarify the concepts and necessity to improve the efficiency of labour export management in enterprises in Vietnam. Additionally, the research gives some indicators for evaluating the efficiency in labour export management and recommendations, solutions for improving the labour export management efficiency in labour export enterprises.

(6) The research of MSc. Thai Thi Hong Minh (2003): ***“Completing the labour export services management of the Ministry of Labour – Invalids and Social Affairs”***. The thesis analyzes the theoretical basis on the labour export services management, evaluates the current status of the labour export services management of the Ministry of Labour – Invalids and Social Affairs (MOLISA) in the period of 1996-2002 and proposes solutions to complete the labour export services management of MOLISA.

(7) The research of Dr. Nguyen Thi Hong Bich (2007): ***“Labour export of some Southeast Asian countries: Experience and lessons learned”***. The research analyzes the international movement of labour, experiences of Philippines, Indonesia, Thailand and Malaysia in the economic context, current status of labour export and labour export market, the impact of labour export in each country to draw lessons learned for Vietnam's labour export.

(8) On 19 and 20 July 2010 in Hanoi, MOLISA organized the 3rd ASEAN Migrant Workers Forum with technical and financial support from the International Labour Organization (ILO), International Organization for Migration (IOM) and TAFW. Topic of the forum is “Raising the awareness and information service to protect the right of migrant workers”. There are many experts from international organization and ASEAN countries participated in the forum. The discussion contents are promoting safety and legal for decent works; enhancing decent works for migrant labour through destination information service and pre-sending training programs, and strengthening on-site information service to raise awareness of decent work and safe migration to protect the right of migrant workers.

(9) IOM, (2016), Migrant Smuggling Data and Research<sup>4</sup>: A global review of the emerging evidence base, The report shows that important research has been undertaken on the transnational crime aspects of migrant smuggling, including on routes, smuggling organization (such as criminal networking and facilitation), smuggler profiles and fees/payment. Likewise, there is an emerging academic literature on migrant smuggling, particularly the economic and social processes involved in smuggling, which has largely been based on small-scale qualitative research, mostly undertaken by early career researchers. Contributions from private research companies, as well as investigative journalists, have provided useful insights in some regions, helping to shed light on smuggling practices. There remains, however, sizeable gaps in migration policy research and data, particularly in relation to migration patterns and processes linked to migrant smuggling, including its impact on migrants (particularly vulnerability, abuse and exploitation), as well as its impact on irregular migration flows (such as increasing scale, diversity and changes in geography). Addressing these systemic and regional gaps in data and research would help deepen understanding of the smuggling phenomenon, and provide further insights into how responses can be formulated that better protect migrants while enhancing States’ abilities to manage orderly migration.

(10) IOM (2016), Assessing the risks of Migration along the Central and Eastern Mediterranean Routes: Iraq and Nigeria as Case Study Countries<sup>5</sup>, The purpose of this study, “Assessing the Risks of Migration along the Central and Eastern Mediterranean Routes: Iraq and Nigeria as Case Study Countries” is to give breadth to the concept of “safe migration” by analysing patterns of migration and return from two case study countries: Iraq and Nigeria. IOM’s Global Migration Data Analysis Centre completed this research study for the United Kingdom’s Department for International Development as part of a wider project entitled “Mediterranean Migration Response, Reducing the Risks of Unsafe Migration: Linking Research, Data and Policy”.

The report is based on 147 in-depth qualitative interviews with migrants and key informants in Nigeria, Niger and Italy (for the Central Mediterranean route) and Iraq, Greece and Germany (for the Eastern Mediterranean route). It presents an update on the dynamics of migration through these two Mediterranean routes, looking specifically at routes and the risks that present on exit, during the

---

<sup>4</sup>Edited by Marie McAuliffe and Frank Laczko, Publisher: International Organization for Migration 17 route des Morillons 1211 Geneva 19 Switzerland Tel.: +41.22.717 91 11 Fax: +41.22.798 61 50 E-mail: [hq@iom.int](mailto:hq@iom.int) Website: [www.iom.int](http://www.iom.int)

<sup>5</sup> Publisher: International Organization for Migration 17 route des Morillons 1211 Geneva 19 Switzerland Tel.: +41.22.717 91 11 Fax: +41.22.798 61 50 E-mail: [hq@iom.int](mailto:hq@iom.int) Website: [www.iom.int](http://www.iom.int), November 2016



journey, at destination and on return. It also provides a first insight into the experience of Iraqi asylum seekers in Germany, after the large number of arrivals in 2015.

The above researches have analyzed and explained the scientific basis of labour export activities and the current status of labour export and State management of labour export, labour export management of enterprises providing labour export services in Vietnam and proposed solutions to reform, complete the organization and management mechanism of labour export activities in Vietnam.

Regarding the evaluation of current labour export enterprises, annually, MOLISA in collaboration with the Vietnam Association of Manpower Supply evaluates labour export enterprises based on some criteria such as: the number of workers sent to abroad by enterprises; data on contract registration at the Department of Overseas Labour (DOLAB); data on incidents and solving incidents.

However, until now, there is no systematic scientific research on both theoretical aspect and practical aspect in developing the monitoring and evaluation indicators of labour export as well as the effectiveness of the Supporting Scheme to poor districts in promoting labour export for sustainable poverty reduction in the period 2009-2020”.

### **1.3. Objective**

- Develop a set of monitoring and evaluation indicators of “the Supporting Scheme to poor districts in promoting labour export for sustainable poverty reduction in the period 2009-2020”;
- Recommend the conditions and solutions for applying the set of indicators in the period of 2016-2020.

### **1.4. Research object and scope**

#### *Object*

A set of monitoring and evaluation indicators of “the Supporting Scheme to poor districts in promoting labour export for sustainable poverty reduction in the period 2009-2020”

#### *Scope*

- *Timeframe*: the current situation of the implementation of the Scheme 2009-2015 and plan for 2020.

- *Space*: 64 poor districts.

### **1.5. Method**

The study has been conducted using a mixed methods or combined methods approach to effective implementation of supporting scheme to poor households in improving labour export contributing to sustainable poverty reduction in Vietnam. This study is the first to link the results of quantitative studies to a qualitative assessment of underlying phenomena. This approach allows the triangulation of results to validate the study findings.

The qualitative component thus forms the core of the study and serves to generate in-depth information both on administrative and socio-economic aspects of effective implementation of

supporting scheme to poor households in improving labour export contributing to sustainable poverty reduction in Vietnam.

The study is informed by a comprehensive literature review and an analysis of secondary socio-economic data from a range of relevant sources, such as Department of overseas labour, provincial level, General Statistics Office...

A case study approach was chosen to ensure that within a specific given context detailed information could be gathered at all relevant administrative levels. The case study approach allows a focus on circumstances and complexity in a clearly defined setting and intensive exploration. Furthermore, the focus on a limited but largely generalizable context enabled the combination of multiple research methods with the objective to investigate the complex situation comprehensively.

The case study was designed to collect information on policy interpretation and administrative practice at national, provincial, district and commune level within one coherent context and to investigate the perceptions and needs of effective implementation of supporting scheme to poor households in improving labour export contributing to sustainable poverty reduction in Vietnam. The case study approach used qualitative instruments.

For the case study the province Thanh Hoa and Nghe An were chosen, as based on socio-economic information on all provinces, data of exporting labour, this province displayed favorable characteristics, both in socio-economic and in demographic patterns as well as living environments. Furthermore, access to data and interviewees was believed to be relatively uncomplicated in Thanh Hoa and Nghe An.

The details are as follows:

- Centre level: Interview 10 Molisa, Dolab officials and 5 exporting labour enterprises = 15 people;
- At the provincial level: Interview 5 staffs of the labor, war invalids and social affairs / provinces (Nghe An and Thanh Hoa provinces) = 10 people;
- District level: each district selected 2 districts and interviewed 5 workers, the labor, war invalids and social affairs/district = 20 people;
- Commune-level: group discussion, 1 commune (5 people)/01district (commune leaders, the labor, war invalids and social affairs, youth union, women's union officials) = 20 people

#### *Secondary literature review*

- *Legal documents/ policies*: Law on Vietnamese workers working overseas under contract and guiding documents; Decosion No.71/2009/QĐ-TTg dated 29/4/2009 of the Prime Minister and other circulars and guidelines.

- *Reports*: reports, data of the Department of Overseas Labour, labour export enterprises, DOLISA, poor districts

#### *Expert method*

Consult experts, policymakers and policyimplementators of the policies to send Vietnamese workers to work overseas at all levels.

## II. THEORETICAL BASIS OF MONITORING AND EVALUATION INDICATORS

### 2.1. Concepts

#### - *Monitoring*

*Definition:* Monitoring is supervising activities of the progress and results of scheme/program/policy (in this research is the Scheme).

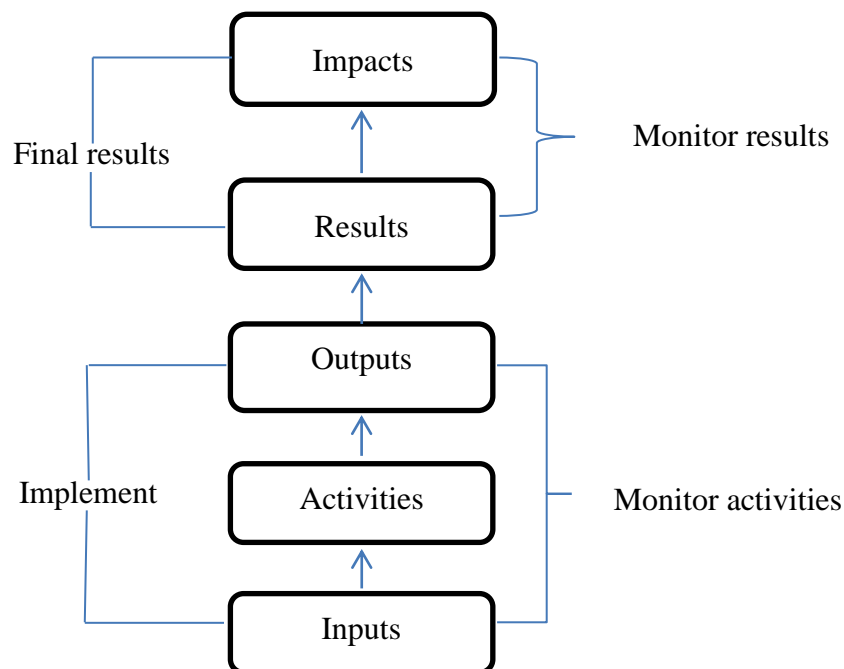
Actually, monitoring is the use of designed indicators to collect information on the organization, implementation and results in all aspects and progress (inputs, activities, outputs, results and impacts) of the Scheme.

For example, monitoring lets us know: the deployment of inputs (human resources, material and financial resources) in sending workers to WO, outputs (the number of workers, enterprises, vocational schools get loans; the number of people enjoy support on vocational training, foreign language, knowledge, etc.) and the effectiveness (the number of people are employed, the number of households escape from poverty, etc.); compare with the targets (objectives of the Scheme), know the progress of the Scheme, inadequacies, limitation, difficulties in organizing, implementing.

In summary, monitoring is the supervising of the implementation of all activities and results at all stages of the current Scheme.

#### *Stages of the Scheme*

In order to meet the objective of providing feedback in detail and realistic way, the monitoring content has to cover all aspects and stages of the Scheme (Figure 2.1).



*Source: Binnendijk 2000*

**Figure 2.1.** Monitor stages of the Scheme

## **- Evaluation**

After having information through monitoring, measuring the achievement level of indicators, the next step is evaluation.

### *Definition*

There are different definition of evaluation. According to Becby C.E: *“Evaluation is the systematic collection and intergretation of evidences leading to judgments of value according to the action viewpoint”*. Friffin P.E argues that :*”Evaluation is a judgment on the value of an event, which involves collecting information for identifying the value of a program, product, process, target or potential of proposed method in order to achieve the objective”*.<sup>6</sup>

In this research, the author thinks that :*Evaluation is the process that relies on the data obtained through monitoring (by a system of indicators) and other reliable data sources about the objects affected by the scheme, to process, analyze, compare with the objectives of current scheme, or compare with other objects (not affacted) to give judgment on the evaluated objects (implementation process and results of schemes)*.

For example, in order to evaluate the effectiveness of scheme, the author compares the income indicators during working overseas, and see that income of overseas workers is higher, but in this step, the author is unable to evaluate the effectiveness of working overseas. To evaluate the effectiveness of scheme, the author needs to compare with other overseas workers but not participate in the scheme, and then the author can see the effectiveness of working overseas.

### *Types of evaluation*<sup>7</sup>

#### Evaluate performance/process

The evaluation of performance takes place during the organizing, implementing scheme, to determine whether the way to organize, implement the scheme is relevent with the practice or not, and identify the consequences of implementation. Performance evaluation is sometimes referred to progress evaluation or process evaluation; this evaluation helps managers have correct assessment on the current status, identify causes of shortcomings in accordance to the implementation progress, and make appropriate and timely decisions to fix and improve the current scheme.

#### Summative evaluation

Summative evaluation is done at the end of the period or after completing the intervention to identify the level of achievements in comparison with expected results (objectives). The summative evaluation includes impact evaluation and performance evaluation. This evaluation focuses on results to serve the decision making to maintain, copy, replicate or finish a scheme.

#### Impact evaluation

---

<sup>6</sup> Institute of Labour science and Social affairs (ILSSA) under Molisa, monitoring and evaluation materials, 2015, page 20-22.

<sup>7</sup> As aboved

Impact evaluation is to see whether a program or a scheme achieves its objectives or not. The impact evaluation of a program measures the change in benefits or welfare of individuals and households due to the impact of program. In essence, it answers a question: how does the scheme affect to beneficiaries and whether the changes of beneficiaries are brought by the scheme or not?

*Method of impact evaluation* includes: comparative method, regression method.

(1) Comparative method

***Single-difference method:***

This method estimates the difference between the results of studied group and control group after implementing the scheme.

*Symbol:*  $\bar{Y}_{i1}$ : average income of the control group i after implementing the scheme (t=1);  $\bar{Y}_{j1}$ : average income of studied group j after implementing the scheme (t=1)

The impact of the scheme on the studied group is:  $G = \bar{Y}_{i1} - \bar{Y}_{j1}$

***Dual-difference method:***

*Symbol:*  $\bar{Y}_{i0}$ : average income of the control group i before implementing the scheme (t=0);  $\bar{Y}_{j0}$ : average income of the studied group j before implementing the scheme (t=0).

The impact of the scheme on the studied group is calculated by formula:

$$G = (\bar{Y}_{j1} - \bar{Y}_{j0}) - (\bar{Y}_{i1} - \bar{Y}_{i0})$$

(2) Multiple regression method

- This method is applied in case we control all causes affecting benefits of the participants of the scheme and not participate in the scheme.

*Formula:*

$$Y = \alpha_0 + \alpha_1 P + \alpha_2 X + \varepsilon$$

- Y: measure of benefit (income), P: the participation in the scheme (P=1 if they participate in the scheme, P=0 if not), X is the vector of variables affecting the benefits of objects.

- By estimating the above equation we can measure the impact of the scheme on the benefits of beneficiaries by the value of parameters  $\alpha_1$ .

***- Criteria***

Criteria are used to test or evaluate an object, including requirements on quality, effectiveness, competency, compliance with roles, final results and sustainability of final results. In other words, criteria are standards used to reflect different aspects of a studied object (program/scheme/policy). A studied object can be divided into many criteria to review, study in different aspects, but people often focus on specific criteria that are appropriate with their research.

In this research, the author uses criteria are standards to evaluate whether indicators meet objectives or not, this is important basis for selecting indicators to use.

The author uses following criteria (Table 2.1).

**Table 2.1. Criteria for evaluating the monitoring and evaluation indicators**

<b>Criteria</b>	<b>Description</b>
<i>Suitability</i>	Practical for management
<i>Effectiveness</i>	Able to measure the level of achievement of an activity
<i>Performance</i>	Able to measure the relationship between inputs and outputs
<i>Impact</i>	Able to measure positive and negative changes due to direct or indirect intervention from the scheme, intentionally or unintentionally.
<i>Sustainability</i>	Able to measure the ability to maintain benefits of the scheme over time.

*Source: Institute of Labour science and Social affairs (ILSSA) under Molisa, monitoring and evaluation materials, 2015, page 30*

#### **- Objectives, targets and indicators**

Objectives are specific purposes that the plan aims to achieve. The structure of objectives consists of a verb to direct the action or a paragraph describing the objects of intervention. For example, the objective of “improving the quality of Vietnamese overseas workers” includes the verb of “improve” and phrase of “overseas workers” means objects of intervention.

In order to achieve this objective, in the planning period, it should be guarantee the production of certain outputs. At the same time, the implementation of specific objectives in the plan will contribute to achieve the overall/ long-term objective. However, long term objective does not have to be implemented in the planning period, it is the direction for some planning periods together contribute to achieve. After achieving long-term objective, planners will identify new long-term objective for the next planning periods. For plan of a sector or locality, the subordinate plan may take specific objective from the superior plan as a hint to identify long-term objective, and concretize the action programs mentioned in the superior plan into action plans or detailed schemes. In other words, the lower level the more detailed action plan and the integration with resources to concrete into timeframe to implement plans will be clearer. The subordinate plan does not necessarily to only carry out tasks that the superior plan has guided.

However, if there is only objective is not enough for the role of guiding for plan, because in the plan, objectives should be made clear that how to reach or exceed the objective. In order to do so, the objective should come with a planned target. This is the quantification of plan into a number that should be achieved at a certain point of time in the planning period.

Therefore, the structure of a target must include (1) name, (2) quantitative number, (3) reflection space, (4) object, and (5) measurement time. In a specific context, the contents (3), (4), (5) are not necessary to list because all people can understand, but the contents (1), (2) must be listed. For example, the objective “increase the number of workers in poor districts participating

in labour export”. The target: in 2009-2010: 10,000 workers from poor districts go to work overseas, in which, around 80% of them from poor households, ethnic minority households; around 70% of them have vocational training.

Target can be reflected in two ways: the first one is to represent the change in comparison with the reporting period or base period (e.g. double the year X) or the absolute value to be achieved at certain point of time in the planning period. The quantitative number can be expressed in absolute numbers or in percentage. This number is identified by planners when planning, based on the analyzing results of current status, forecasting and considering impact factors on the implementation of plan. It should be noted that in order to manage by results, the number of targets should not be too much and should pay more attention to targets at the intermediate objective level/specific objective (especially for high-level plans).

Indicators such as “the percentage of workers are trained before going to WO” or “the percentage of ethnic minority workers are exported” are only valid periodically after measuring and recording by agencies. Therefore, the value of indicators will be changed after each period, while the value of targets is fixed from the beginning (and only changed when planners change the objective).

Another difference between target and indicator is a target/objective can be measured by many indicators depending on the requirement of evaluators. Indicators are identified correspondingly to objective levels, in which, there are 2 main types of indicator are performance indicator and outcome indicator. Performance indicator concerns whether inputs (human resources, material and financial resources), and activities (tasks, processes) are in line with the budget/plans and timeline of activities have been already built or not. The outcome indicator focuses on measuring the achievement level of objectives (outputs, medium-term results and impacts) in comparison with expected results. Additionally, there is some indicators to assess such as indicators for measuring effectiveness of plans or measuring risks in the implementation of plans. There are some cases that one target can be measured by one indicator. In these cases, the indicator will be the content of the target (but does not have quantification and timeline).

## **2.2. Principle in monitoring and evaluation**

### ***(1) Ensuring the independence***

If people in charge of monitoring and evaluation are not bounded by politics and pressure from the organizations, the monitoring and evaluation results are objective. Additionally, they must have access to information and autonomy. The reliability of the monitoring and evaluation depends on the level of independence of evaluators.

The independence is expressed in following points:

- + Independence in organization: the evaluation organization is not governed by the implementation organization of scheme.
- + Independence in analysis: the evaluation organization has ability and willing to make strong and decisive reports.
- + Not affected by external interventions.
- + Stand out from the benefit conflicts.

## ***(2) Ensuring ethical principle***

The evaluation results must be truthful, fair and wise. The ethical principle is expressed by following criteria (Table 2.2)

**Table 2.2. Principles in monitoring and evaluation**

<b>Criteria</b>	<b>Description</b>
<b><i>Ensuring the truth</i></b>	
Honesty	Honesty in data, results, methods, process of publication; not fake or misrepresent data; not cheat colleagues, sponsors or the public.
Discretion	Avoid errors due to negligence; carefully check the tasks of yourself and colleagues
Competence	Continuously improve expertise competence through regular training.
Uprightness	Respect promise and agreement; act honestly; ensure consistency in thought and action
Objectivity	Avoid bias in monitoring, evaluating, interpreting data, deciding personnel, funding, certifying professional and researches, objectivity in assessment.
<b><i>Ensuring the fairness</i></b>	
Confidential information	Protect confidential information: documents, publishing permits, personal records, trade secrets, military secrets, etc.
Protect human	Minimize harm and risk, maximize benefits, respect human dignity, personal life, autonomy; be careful with sensitive objects.
Rationality	Understand and comply with laws and relevant policies of the central and local.
No discrimination	Not discriminate on gender, ethnics or other factors not related to competence or scientific characters.
Publicity	Share data, results, ideas, tools, resources; willing to listen to criticism and new ideas.
Respect colleagues	Respect and treat colleagues fairly
Respect intellectual property	Respect patents, copyrights, other forms of intellectual property, Not use unpublished data, methods or results.

*Source: Pimple (2002), Shamoo and Resnik (2003), Resnik (2007)*

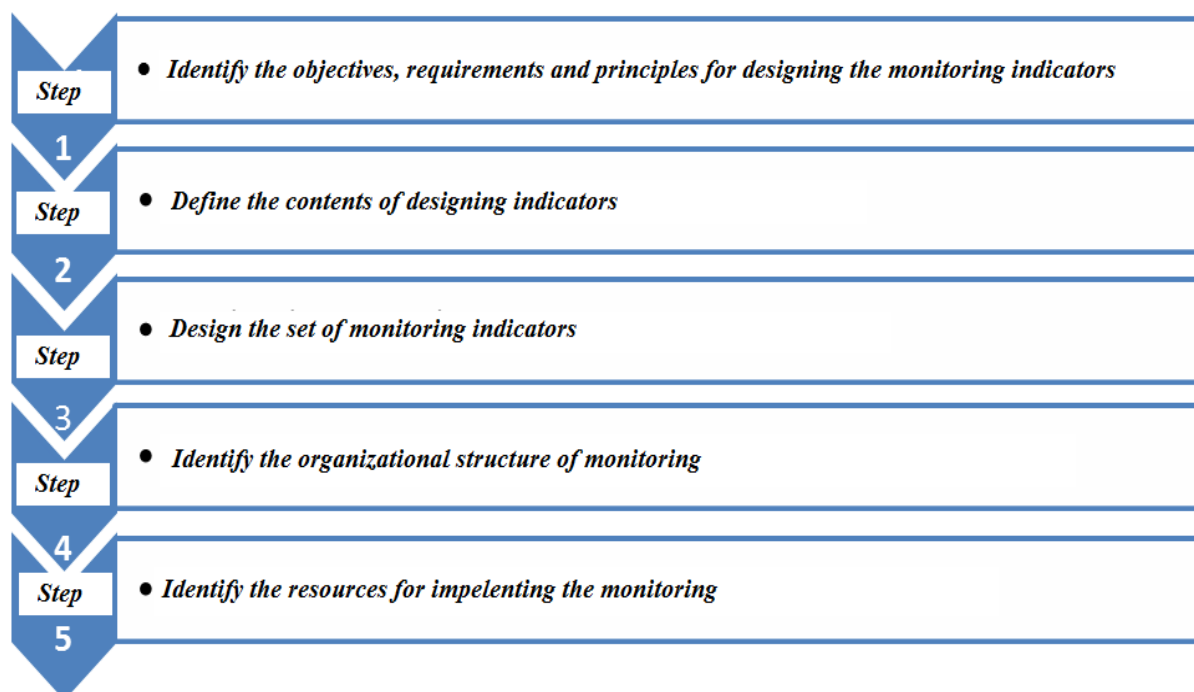
## **2.3. Process of designing monitoring and evaluation**

### ***(1) Process of designing monitoring***

In order to develop a set of monitoring indicators that meet the requirements of monitoring the scheme and able to implement smoothly and achieve results, it should be followed the process (figure 2.2)



**Figure 2.2. Process of designing to monitor scheme.**



*Source: Institute of Labour science and Social affairs (ILSSA) under Molisa, monitoring and evaluation materials, 2015, page 35*

### **Explain:**

#### ***Step 1. Identify the objectives, requirements and principles for designing the monitoring indicators***

Indicate what is the objective of building indicators? What are the requirements for the set of indicators and each indicator? This is the basis for considering that whether the set of indicators and each indicator meets requirements or not; the principle requires the indicator builder must comply.

#### ***Step 2. Define the contents of designing indicators***

In order for the set of indicators to meet the management requirements and be feasible in the operation process, it is necessary to clarify (i) the necessary content for building indicators, (ii) data source for monitoring.

#### ***Define the necessary contents for building indicators***

Based on the logical framework (figure 2.1) consists of 5 main information groups:

*Inputs:* include resources (human, material, finance) to achieve outputs

+ Planned budget (is allocated) for each activity; allocated budget for supporting workers to participate in activities.

+ Human resources for deploying and implementing the scheme: the number of full-time staff, staff in charge of dissemination, consultation, etc.

- + Facilities for the implementation of the scheme: the number of vocational schools, centers, enterprises, poor districts, labour export enterprises, ethnic minority boarding schools, employment centers.

*Implementation process:* financial mechanism and schedule for activities. The way to implement preferential credit, training, communication, etc, appropriate or not?

*Outputs:* products, equipment and services brought by the scheme.

The number of employment centers and training institutions are supported in establishment; the number of communication programs, publications. Normal outputs are monitored and managed by service suppliers.

*Results:* measure the level of access to services and products, the level of use of these services and the level of satisfaction with results and services. This process includes monitoring the beneficiaries and measuring the correlation between quantity and quality of services in comparison with the needs of beneficiaries. Unlike outputs (under the control of service supplier), the measurement indicators depend on factors beyond the impact scope of program implementing agencies (e.g: behaviour of individuals and households, service costs, customs, etc.)

*Effectiveness/impacts:* long-term effectiveness of the scheme. The long-term changes caused by results of the scheme. The number of households escape from poverty? The number of households improve living standards?

### ***Identify the data source for monitoring***

In general, a scheme is often last in 5 years and uses the following tools to collect information for monitoring and evaluation:

- + 6 months and 1 year reports, 3-year pre-summation reports, 5-year summation reports of labour export enterprises, divisions of labour-invalids and social affairs of poor districts, DOLISA manages poor districts.
- + Household surveys on income, expenditure, agriculture - rural, health, labour-employment.
- + Programs for assessing poverty with the participation of citizens;
- + In addition, there should have (i) the national data system to evaluate the change in GDP; and (ii) public finance expenditure data.

### ***Step 3. Design the set of monitoring indicators***

Based on step 1 and 2, the set of indicators is designed can meet the requirements of quantity, standards and feasibility during operating.

### ***Step 4. Identify the organizational structure of monitoring***

Regarding the organizational structure: (i) firstly, identify the specific tasks of each units; (ii) have the department to be responsible for independence monitoring with statistical agencies in order to cooperate in different activities. This department will be in charge of annual report, and finally (iii) have the advisory council for monitoring, composed of representatives of relevant sectors/industries (from NGOs, schools, research institutes and donors).

Regarding resources: (i) have budget for implementing surveys and quantitative and qualitative analyses, survey data from different sources; (ii) need to improve the competence of the department responsible for this task.

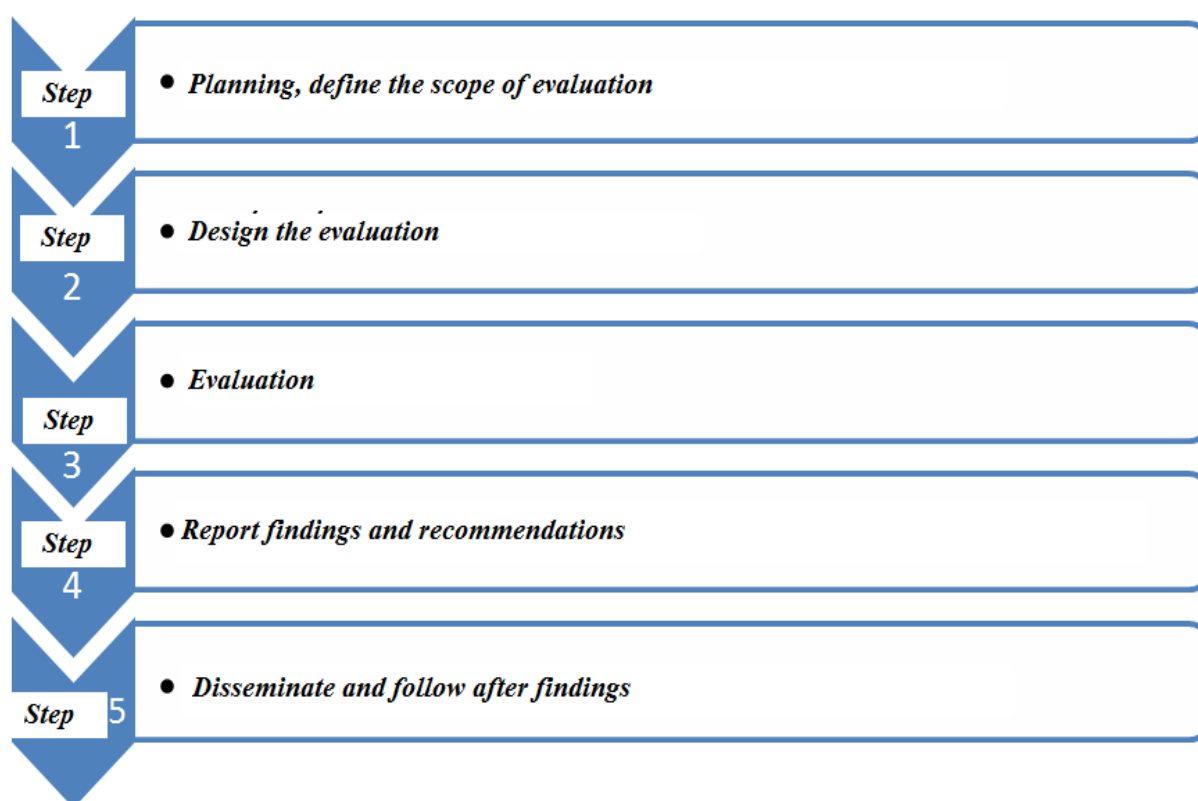
***Step 5. Identify the resources for impelenting the monitoring***

Finally is identifying the resources to ensure the competence of each departments in implementing specific activities. It includes: building training plans, improving competence for staff at all levels, identifying demands for technical support and building financial plans for implementing specific activities and financial resources for these activities. Especially, there is a need of improving for staff at all levels in coordination with research institutes, universities in analyzing and monitoring.

***(2) Process of designing evaluation***

Scheme evaluation should followed the process as in figure 2.3:

**Figure 2.3. Process of designing evaluation**



*Source: Institute of Labour science and Social affairs (ILSSA) under Molisa, monitoring and evaluation materials, 2015, page 40*

**Explains:**

***Step 1. Planning, define the scope of evaluation***

This step clarifies: What is objective of evaluation? What is data to base on? The reliability of data source? Who is evaluators? What are objects of evaluation?

In order to have better understanding on the scheme, this step needs: identify and meet involved parties, explore the context of scheme and collect basis materials, find relevant evaluations, etc.

### ***Step 2. Design the evaluation***

Develop the terms of reference (TOR) for designing the evaluation. Before developing TOR, there is a need of: meet the customer (ordering party), identify main objectives of evaluation; meet related parties, explore concerning issues to identify the focus of evaluation; identify available resources for evaluation.

Build TOR and evaluation matrix: identify types of evaluation, build big and small questions, choose measures for each type of question, find data sources for answering questions, develop plans for collecting data (including tools and methods for sampling of each question), analyze data, resources and timeline for implementation.

### ***Step 3. Evaluation***

Include both collecting and analyzing data before organizing workshop for reviewing findings, identifying topics and arising policies. In order to get the consistence of main proposed topics in the workshop, it should re-check to see whether main questions of evaluation are solved or not. This step needs: (i) brief introduction of evaluation design for relevant parties, prepare working plans including reviewing and pilot methods, training on collecting data, prepare data for analyzing, analyze data and give findings.

### ***Step 4. Report findings and recommendations***

The findings are discussed with the “owner” of scheme to fix the errors and consider information before providing recommendations. After finalizing analysis, recommendations will be provided to customers and relevant parties. The structure of report consists of: the background and context of evaluation, objective, scope, method, finding, comments of scheme staff on the draft of report, edit report (if necessary). The recommendations must be clear, specific, indicate clearly the tasks and timeline of tasks of each staff, consider whether recommendations are consistent with evidences or not.

### ***Step 5. Disseminate and follow after findings***

Planning of evaluation also means the dissemination planning throughout the journey, not only for customers, relevant parties but also the evaluation team. Thus, building plan for dissemination is a part of planning. Findings (especially unexpected findings) must be published. This step needs identifying: Who will be in charge of disseminate this report? Follow formal recommendations to identify the implementation. The dissemination can be used in different stages.

## **2.4. General experience in using indicators set monitoring and evaluation of some programs, schemes and lesson learned**

### ***(1) General experience in building indicators for monitoring and evaluation of social assistance system***

Indicators

In recent times, the social assistance sector has positive improvements, including monitoring indicators of the regular social assistance.

In the national statistical indicator system<sup>8</sup>, in addition to basic indicators of population (by gender, ethnicity, age group, urban/rural, province/city), there are some indicators directly related to regular social assistance, including:

**Table 2.3: Indicators related to regular social assistance  
in the national statistical indicator system**

No.	Code	Group, name of indicator	Grouping	Data source	Publishing period	Organizations for collecting, synthesizing
281	1718	Number of people with disability	Type of disability, level, cause, age group, gender, province/city	5-year survey of GSO	5 years	GSO
282	1719	Number of people with disability enjoy allowance	Form of allowance, gender, age group, province/city	Integrated statistical reporting regimes, applied to MOLISA	Year	MOLISA
307	1908	Number of people enjoy regular and emergency social assistance	Target group, province/city	Integrated statistical reporting regime	Year	MOLISA

Source: <http://gso.gov.vn/default.aspx?tabid=457&idmid=6&ItemID=9725> (2010)

Together with indicators of the national indicator system, MOLISA issues the Statistical Indicator System of Labour- Invalids and Social Affairs sector<sup>9</sup> that social assistance is linked to social protection - poverty reduction and child protection sector. On the basis of MOLISA's indicator system, MOLISA of provinces/cities also develops and collects indicators at provincial and district level for reporting. In which, some indicators are under the management of district level (e.g: beneficiaries of regular social assistance), some indicators are under the management of commune level (e.g. number of poor and near-poor households, etc.)

Therefore, it can be seen that not many countries and sectorial levels are directly related to regular social assistance. However, in practices, each policy/program of regular social assistance has its own indicator system/group issued and guided by the management unit.

<sup>8</sup> Issued in accordance with Decision No.43/2010/QĐ-TTg dated 02/06/2010 of the Prime minister.

<sup>9</sup> Circular No.30/2011/TT-BLĐTBXH dated 24/10/2011

The joint-circular no.29/2014/TTLT-BLĐTBXH-BTC dated 24/10/2015 guiding the implementation of Decree No.136/2013/NĐ-CP provides a set of templates for collecting indicators for monitoring work. This is considered as the most important indicators of the current social assistance policy system, namely:

- Results of implementing regular social assistance
- + Monthly social assistance for 6 groups of beneficiaries, grouping by gender, age group and budget;
- + Community-based care and adoption for 3 groups of beneficiaries, grouping by gender, age group and budget;
- + Nurturing in social protection centers, social houses for 6 groups of beneficiaries, grouping by gender, age group and budget;
- + Funeral expenses, grouping by gender, age group and budget.
- The results of implementing policies for the elderly, grouping by gender: there only some indicators related to regular social assistance including indicators from 1 to 7 and indicator 26<sup>th</sup>.
- The results of implementing policies for people with disability, grouping by gender.
- The above circulars also assign the tasks for implementation agencies to make periodical reports according to the templates:
  - Commune level: the commune people's committee reports to Division of labour - invalids and social affairs and District People committee before 15 Jun and 15 December every year;
  - District level: Division of labour - invalids and social affairs reports to DOLISA and district people's committee before 30 Jun and 31 December every year.
  - Provincial level: DOLISA reports to MOLISA and provincial people's committee before 15 January and 15 July every year.

In 2014, the Decree No. 136/2013/NĐ-CP has not been implemented so indicators at local has not been collected in accordance with the above indicator system. The data in this area at local is still collected according to beneficiaries in Decree no.67/13, no.06 and no.28 (see Appendix 3). At the district and commune level, the monthly data is sufficient and accurate; the data of provincial level is updated quarterly or upon request, which is synthesized from district level. These data can be considered as correct, timely and reliable (including both information about beneficiaries and finance). However, the data at the central level is limited due to the reporting from provincial level. Provinces/cities are often delayed in updating data to the central, especially for financial indicators, therefore, the data of the central level is quite sufficient about beneficiaries but limited about financial information.

The joint circular No.20/2014/TTLT-BGDĐT-BTC-BLĐTBXH dated 30/05/2014 of the MoET, MOF and MOLISA guides the implementation of Decree no.49/2010/NĐ-CP and decree no.74/2013/NĐ-CP on tuition fee reduction and exemption and support on learning costs as well as issuing forms of report to collect data, namely:

- Estimate additional Budget, annual tuition fee reduction and exemption: indicators include the number of students enjoy tuition fee reduction and exemption, the level of tuition fee/month, number of months and total additional Budget for tuition fee reduction and exemption; grouping by the levels of education and majors.

- Synthesize the additional Budget for annual tuition fee reduction and exemption of ministries, local sectors according to the name of education institutions: indicators include the number of beneficiaries and total estimated Budget.

- Summarize the need of support on learning costs of province/city by 2 groups of beneficiaries including estimation (the number of beneficiaries, costs) and implementation results (the number of beneficiaries, number of months and need of support).

- Synthesize the need of additional Budget for tuition fee of kindergarten education and general education by types of school.

- Synthesize the need of additional Budget for tuition fee of public vocational training institutions and public universities by groups of beneficiaries and education levels.

- Synthesize the need of additional Budget for tuition fee of non-public vocational training institutions and non-public universities, and universities and vocational training institutions of the State-owned enterprises by groups of beneficiaries, education levels.

The above circular has just issued so the available data of localities includes the number of beneficiaries by types of support, education levels, types of schools (public, non-public), by groups of beneficiaries, fund. Information from education institutions, division of education and training, department of education and training is collected by semester. Data at provincial and central level are estimations only.

For poor and near poor households, the monitoring indicators are updated annually (after the general review). MOLISA also issues circular no.24/2014/TT-BLĐTBXH dated 6/9/2014 has regulations on forms of report and related indicators applying for commune, district and province level, including:

- Synthesize the results of survey on poor households includes indicators: total population, number of poor households at the beginning of the year, changes in poor households in the year (out of poverty, re-falling into poverty and new poverty) and the number of poor households at the end of the year, grouping by areas (urban/rural) and locations.

- Synthesize the results of near poor households survey; similar to poor households survey.

- Analyze poor households by groups of beneficiaries (number and rate): poor households subject to social protection policies, poor households have members subject to national devotee policy, poor households have members subject to social protection policy; grouping by urban/rural areas and locations.

- Analyze causes of poor (number and rate) including 11 causes; grouping by urban/rural areas and locations.

Social assistance policies relate to poor and near poor households including:

- Support on electricity fee (according to Decision No.28/2014/QĐ-TTg dated 27/04/2014 of the Prime Minister): indicators for reporting of this policy include total number of households enjoy policy and total fund for implementation, data is collected from commune → district → province → central. However, the data is not often synthesized in separate table, but only in the text report.

- Support to purchase health insurance card for members of poor and near poor households: indicators for reporting of this policy only include total beneficiaries (persons) and total fund for implementation.

The general statistical indicator of social protection - poverty reduction and the elderly, child protection sector in Vietnam (*Appendix 1*)

Summary, the evaluation of the current status of monitoring indicators has the following issues:

- Currently, the indicators at the national and sectoral levels and indicators of each policy have been grouped by groups of beneficiaries in a general way, so, it can be said affirmed that these indicators have covered all beneficiaries and components of the system. These indicators mainly serve for the management, implementation instead of supervision of the system. As a result, reports on the implementation of social assistance system mainly consider the internal control indicators of the system.

- These indicators are used regularly because they provide input basis for planning as well as policy implementation. Indicators are managed on the basis of the administrative system which is statistics to each person. In fact, in order to implement the Decree 136 as well as social assistance policies, the statistical data system of beneficiaries are completed by localities.

- The indicators mainly track the relation to the number of beneficiaries. At the present, this set of indicators do not have indicator to reflect the trend as well as correlation with changes of internal factor and external factor (the environmental factor that the system is operating in). For example: there is no indicator to reflect the change in spending on social assistance with other expenditures or economic growth, etc.

- For the requirement to evaluate the quality of the system's performance: when developing this policy, indicators such as coverage level, errors in exclusion and leakage are concerned. Actually, the current indicator system does not have indicators to reflect this aspect. It should also be noted that these indicators often depend on the evaluation activity rather than monitoring or supervising.

The biggest current limitation is that indicator set exists independently and fragmentally each other. For each policy, program, there is a system or a set of indicators which are not referred to others. In other words, indicators exist independently and scattered by each policy. The general indicators (national and sectoral indicators) are few and not intensive. There is no monitoring system for each group of beneficiaries (children, people with disability, the elderly, the poor, etc.). Therefore, it is difficult to monitor and evaluate the results of current policies for these groups. Regarding the quality of information collected according to indicators/forms of report, the biggest limitation is inaccurate and not updated at the central level, especially for financial



indicators are only estimated. This affects significantly to the development and adjustment of policies at the national level.

There are some indicators are good and important (according to 5 criteria discussed in section I.1), but in practice, they are not effective. The typical indicators are indicators related to poor/near poor households. These indicators can be collected quite accurately and sufficiently (even in different grouping). However, the quality of information is not objective because the number/percentage of poor households is planned at the beginning of the year, the indicator on poverty rate is included in the Resolution at all level, so the results in report has not reflected correctly the current status of poverty.

All of these limitations are the consequence of fragmented social assistance policy system which has not department specialized in M&E with a strict reporting mechanism. Therefore, it is necessary to complete the monitoring indicator system to serve the regular social assistance work in the new period. Besides that, it should provide an effective means for staff to manage and explore information (e.g. the modern and friendly information management system which is able to automatically export indicators for report). Regarding institutional issues, there is a need of good reporting mechanism which is strictly complied at all levels.

#### Evaluation indicator set

As analyzed above, Vietnam has not yet developed its own evaluation system, so it has not yet formalized evaluation indicator set for the regular social assistance system. However, each sector often publishes indicators to monitor and evaluate.

The national action program for the elderly in the period of 2012 - 2020 approved by the Prime minister on 22/11/2012 provides indicators for orienting, measuring and evaluating performance results in comparison with the targets. There are 2 indicator groups for 2015 and 2020 in three fields, include:

- Promote the role and participation of the elderly.
- Enhance the physical and spirit health of the elderly.
- Improve the quality of material life of the elderly.

The national target program for child protection in 2011-2015 approved by the Prime Minister on 22/2/2011 has specific quantitative targets as follows:

- Reduce the rate of children living in special difficult circumstances to under 5.5% of total number of children.
- 80% of children living in special difficult circumstances enjoy assistance, care for recovery, re-integration and opportunities for development.
- 70% of children to be at risk of falling into special difficult circumstances are intervened to minimize, eliminate the risk.
- 50% of provinces/municipalities build and put into operation of effective system for child protection service delivery.

Data collected under current indicator set and report is used not only for monitoring but also for evaluation. The most concerned indicators for evaluating policies/programs are the

number of beneficiaries and total fund for implementation by year. Some indicators that are being interested in policy evaluation are the coverage level, level of errors related to exclusion and leakage have not been formally collected. Some indicators can be calculated from data source, report, statistics or current monitoring indicators (e.g. level of coverage). The indicators of policy leakage and omissions of beneficiaries are only estimations from different sources or through checking at some localities.

Indicators used for reviewing impacts of policies on beneficiaries are also difficult to collect. Due to not implement the survey to collect information at base-line/mid-term/end-line, it is imposible to measure the impact of policies on a beneficiary. Researches often use data sources from the census or specialized surveys to evaluate, the most popular source is from indicators of Vietnam household living standard survey (VHLSS) which is carried out every 2 years by GSO. Information from this survey is as follows:

*For households*, information reflects living standard of households:

- Household income: income level and income by sources (wage, salary; self-employed in agricultura, forestry, aquaculture; production business services in non-agro-forestry and aquaculture; other sources).
- Expenditure: expenditure level, expenditures by purpose (for food, clothing, transportation, education, health care, culture, etc., other expenditures to calculate the consumer Price index)
- Other information of households and households' members to analyze causes and differences in living standards: main demographic characteristics (age, gender, ethnicity, marital status); educational level; health condition and using health services; employment; living equipment, electricity, wáter, hygienic conditions; **participation in assistance programs**; land managed and used by households.

*For communes*, collect infomation that reflect living condition in the commune:

- General demographic characteristic and ethnicity.
- Main socio-economic infrastructure: electricity, road, school, health stations, market, post office and wáter source.
- Economic status: agricultural production (land, trends and causes of increasing or decreasing the output of main crops, conditions to improve production such as irrigation, agricultural extensions); non-agricultural employment opportunities.
- Some basic information on social security, environment, credit and saving.

However, it is limited in reviewing and evaluating impacts of regular social assistance policies, due to not have sufficient information and sample size as well as sampling methods to be appropriate to evaluate social assistance policies. Information of the participation in assistance programs is limited, which is only listing by major policy groups leading to not ensure the representation as well as statistical significance.

The lack of evaluation indicators leads to the shortage of scientific and practical basis for reviewing, evaluating the system and current policies. The results as well as impacts of policies

have not been considered, researched comprehensively and evidence-based. Therefore, it is necessary to build a set of evaluation indicators for programs, policies and the whole regular social assistance system. In order to do so, it could be conduct separate survey at national level on social protection/social assistance or adjust/streamline this content into the VHLSS.

## ***(2) Experience in developing evaluation criteria for poverty reduction program***

Poverty reduction is one of the most important social policies which is always concerned by the Government. In order to improve the effectiveness of this policy to contribute to social protection and poverty reduction, the government has built a set of criteria for this program, namely:

### **Project 1: 30a Program**

The central budget allocates for development investment, career; local budget allocates for development, career; other mobilization from different sources for project 1

- a) Sub-project 1: support to invest in infrastructure in poor districts.
- b) Sub-project 2: support to invest in infrastructure in special difficult communes in coastal areas and islands
- c) Sub-project 3: Support to production development, livelihood diversification and replication of poverty reduction models in poor districts, special difficult communes in coastal areas and islands
- d) Sub-project 4: Support for workers from poor and near poor households, ethnic minority households to work overseas under contract
  - Central budget allocate; local budget allocates; mobilize from other sources;
  - The number of people receive support on vocational training, foreign language, necessary knowledge and procedures to work overseas, in which: the number of workers working overseas under contracts (clearly define the beneficiaries by total number, number of poor/near poor/female/ethnic minority people);
  - The number of staff in charge of dissemination of grassroots level are trained to improve capacity;
  - Number of workers/families of workers are consulted for job introduction after returning home (clearly define the beneficiaries by total number, number of poor/near poor/ female/ ethnic minority people).

### **Project 2: Program 135**

The central budget allocates for development investment, career; local budget allocates for development, career; other mobilization from different sources for project 2

- a) Sub-project 1: support to invest in infrastructure for communes with special difficult circumstances, border communes, communes in security zone, villages with special difficult circumstances.

b) Sub-project 2: Support to production development, livelihood diversification and replication of poverty reduction models in communes with special difficult circumstances, border communes, communes in security zone, villages with special difficult circumstances.

c) Sub-project 3: Improve capacity for communities and grassroots staff in communes with special difficult circumstances, border communes, communes in security zone, villages with special difficult circumstances.

**Project 3: Support to production development, livelihood diversification and replication of poverty reduction models in communes not included in Program 30a and 135:** The central budget allocates; local budget allocates; other mobilization from different sources for project 3;

**Project 4: Communication and poverty reduction in information**

The central budget allocates for development investment, career; local budget allocates for development, career; other mobilization from different sources for project 4

a) Communication

b) Poverty reduction in information

**Project 5: Capacity building, monitoring and evaluation of program**

The central budget allocates for development investment, career; local budget allocates for development, career; other mobilization from different sources for project 5

a) Capacity building

- Organize training for capacity building of poverty reduction: number of training classes and number of staff involved in (clearly define total number of turns, number of staff by levels, number of female/ethnic minority staff)

- Visit and learn experience: the number of turns and staff participating (clearly define total number of turns, number of staff by levels, number of female/ethnic minority staff)

b) Monitoring and evaluation activities

- Monitoring: Number of visits of provincial, district, commune levels.

- The implementation of guidelines on monitoring and evaluation

- Implement building, updating database of poverty reduction: survey of poor/ near poor households; update data of poor/ near poor households.

**- *Lessons learned***

- *Firstly*, it is necessary to build the mechanism for monitoring, evaluating the implementation of scheme. The mechanism should clearly specify the design of monitoring and evaluation system from the central to local, and how this system operate.

- *Secondly*, in order to operate smoothly, it needs: (i) clearly and specifically assign the tasks of monitoring, evaluation by documents of competent authorities (legally). Besides that, there should have strict sanctions in case of failure to fulfill the monitoring and evaluation tasks affecting the results and effectiveness of the performance; (ii) Fund for monitoring and

evaluation must be allocated sufficiently; (iii) Organizations, units, individuals in charge of monitoring and evaluation must be equipped adequately with relevant knowledge and skills.

- *Thirdly*, the monitoring and evaluation system needs to be classified, grouped in accordance with each component of program to ensure the feasibility, suitability, contributing to accurate evaluation of programs/policies.

### **III. EVALUATING OF THE SCHEME NO. 71 CRITERIA AND MONITORING SYSTEM IN PRACTICE**

#### **3.1. Introduction of the Scheme<sup>10</sup>**

##### ***(1) Objective and targets of the scheme***

###### *Objective*

Improving the worker quality and increasing the number of workers in the poor districts participating in labour export, contributing to job creation, income generation and sustainable poverty reduction.

###### *Targets*

- *Period 2009-2010*: pilot implementation with 10.000 workers in the poor districts to work overseas (average 5.000 workers per year), of which: approximately 80% of the poor households, ethnic minority households; about 70% of trained workers; contributing to reduction of 8.000 poor households (reduction of 2.8% the poor households in 61 poor districts).

- *Period 2011-2015*: sending 50.000 workers in the poor districts to work overseas (average 10.000 workers per year), of which approximately 90% of the poor, ethnic minority households; about 80% of trained workers; contributing to reduction of 45.000 poor households (reduction of 15.6% the poor households in 61 poor districts).

- *Period 2016–2020*: increase of 15% of the total employees working overseas against to that of the period 2011-2015, of which about 95% of the poor, ethnic minority households, contributing to reduction of 19% poor households in 61 poor districts.

##### ***(2) Components/activities/contents of support***

###### *Policies for workers*

a) Supporting workers to improve their education level to participate in working overseas.

- *Subject*: workers in poor, ethnic minority households graduating from primary school upwards were selected to participate in working overseas, but their education level has not met the requirement and they need to enrich more about education level.

- *Training duration*: maximum of 12 months.

- *Contents of policy*:

+ Support for full tuition, course materials, textbooks, notebooks;

---

<sup>10</sup> Source: cite the main content of Decision No. 71/2009/QĐ-TTg dated 29/4/2009 signed by the Prime Minister approving the scheme to support poorest districts to boost labor export to contribute to sustainable poverty reduction in 2009 -2020

+ Support for food, living expenses during their learning period, travel expenses and initial regime as students in boarding ethnic minority schools.

- *Sources of funding*: the central budget.

- *Financial mechanism*: the central budget added with objects for the local to manage, use and settle expenses under the current regulations.

b) Support workers in vocational training, foreign language, necessary knowledge in accordance with the Vietnamese Labour Law to work overseas under labour contracts; support medical examination costs, passport, visa, judicial record to work overseas.

- *Object*: the selected workers are trained vocation, foreign language, necessary knowledge in accordance with the Vietnamese Labour Law to work overseas under labour contracts according to the scheme.

- *Training duration*: depending on the job training and requirements of the labour export market, the Minister of Labour, Invalids and Social Affairs will consider and specify the training duration, but not exceeding 12 months. After the courses, the workers will be granted a certificate of qualifications and certificate of knowledge under regulation.

- *Contents of policy*:

+ Support 100% of vocational, foreign language and knowledge training fee for workers in poor households, ethnic minorities;

+ Support 50% of vocational, foreign language and knowledge training fee for other objects in 61 poor districts;

+ As for the workers in poor households, ethnic minorities are additionally supported:

*Living and meals expenses while studying at the rate of VND 40.000/person/day;*

*Accommodation at the rate of VND 200.000/person/month;*

*Support of necessary belongings for employee (uniform clothes, blankets, shoes ...) at the rate of VND 400.000/person;*

*Travelling expenses (round trip) of one time from residence area to training place; the rate of support based on costs of means of transport at the time of payment;*

*Cost of procedures before going to work overseas under the provisions of passport fee, visa fee, medical examination fee, fee of judicial records.*

- *Mechanism of implementation*: responsible agencies will select enterprises having qualification, experience to participate in the scheme; implementation of ordering training mechanism.

- *Sources of funding*: the central budget and other legal financial resources.

- *Financial mechanism*: the central budget will arrange in the annual budget estimates of the Ministry of Labour, War Invalid and Social Affairs, use and settle expenses under the current regulations.

c) Risk support

- *Subject:* workers subject to the scheme meeting risk while going to work overseas -  
Contents:

+ Workers will be supported to risk according to Section 3, Clause 3, Article 3 of the Decision No.144/2007/QĐ-TTg dated 31 August, 2007 by the Prime Minister on the establishment, management and use of overseas employment support fund;

+ In case workers having work time less than 12 months and being returned home, they will be supported one-way ticket when encountering one of the reasons: (i) s their health is inappropriate with work requirement, (ii) employers have difficulties in production and business, so employees lose their job, (iii) employers unilaterally terminate the labour contract.

- *Sources of funding:* overseas employment supporting fund.

- *Implementation mechanism:* according to mechanism of overseas employment supporting fund.

#### *Preferential credit policy*

##### a) Preferential credit for workers

- *Subject:* Selected workers in the poor districts have needs to borrow loans to work overseas.

- *Loan size:* basing on their loan demand, the maximum of expenses that workers have to contribute according to each market.

- *Interest rate:*

+ For workers in poor households and ethnic minority groups, lending interest rate is 50% of the current lending interest rate of Vietnam Bank for Social Policies (VBSP) for policy beneficiaries working abroad;

+ For other subjects in poor districts, lending interest rate is applied as the current lending interest rate of VBSP for policy beneficiaries working abroad.

- *Responsible agency:* Vietnam Bank for Social Policies.

- *Capital sources:* State budget will be transferred to VBSP according to the labour export plan of each province.

- *Implementation mechanism:* VBSP and the Ministry of Labour - Invalids and Social Affairs will prescribe the lending ceiling rate according to each market, labour export enterprises participating in the scheme confirm employees' expenses; the maximum loan term is not exceed the working duration in the labour contract; VBSP will base on the confirmation of enterprises and loan request of workers to decide loan amount, loan term and other conditions according to the current regulations.

##### b) Preferential credit for the vocational training establishments to labour export

- *Subject:* vocational training establishments, labour export enterprises participating in the scheme (selected by the Ministry of Labour - Invalids and Social Affairs).

- *Contents:* borrow loans to increase the size of classrooms, dormitories, job training equipment and facilities for training labour export.

- *Loan size, interest rate, condition, lending procedure* will be implemented under concessional lending mechanism of the Government according to current regulations.

- *Capital sources:* Vietnam Development Bank.

#### *Activities*

a) Communication activities and capacity enhancement, awareness on labour export

- *Goal:* improve capacity of labour export activity for local staff; enhance awareness, update information for local authorities at all level and people on the policies, mechanisms and efficiency of labour export.

- *Content:*

- + Training on labour export for local staffs, propagandists;

- + Organizing investigation activities on needs of labour export and employment after labour export;

- + Propagandizing, completely informing on policies, regimes, conditions for recruitment, working and living conditions and income of employees in the market via the mass media at the central and local areas;

b) Counselling activity, introduction of employment after employees return home

- *Objective:* help employees find jobs or create their own jobs; guide them and their families to use effectively the labour export's income.

- *Contents:*

- + Build up a database on employees in the poor districts working overseas to manage and support them in the course of scheme implementation;

- + Organize consulting and job placement for employees in accordance with profession, accumulated experience while working overseas;

- + Organize consulting, guide employees and their families to use their income from working overseas in investing and developing economy, farm economy; organize training courses on starting a business.

c) Activities of monitoring and evaluation

- *Objective:* ensure proper implementation of goals, targets and objects of the schemes.

- *Content:* monitor and evaluate implementation of policies and activities of the scheme:

- + Agencies, units participating in the scheme self-monitor, evaluate, periodically report to the Ministry of Labour - Invalids and Social Affairs;

- + Monitoring and evaluating contract with independent advisory agencies.

d) Funding and financial mechanism to carry out these activities

- *Sources of funding:* the state budget.



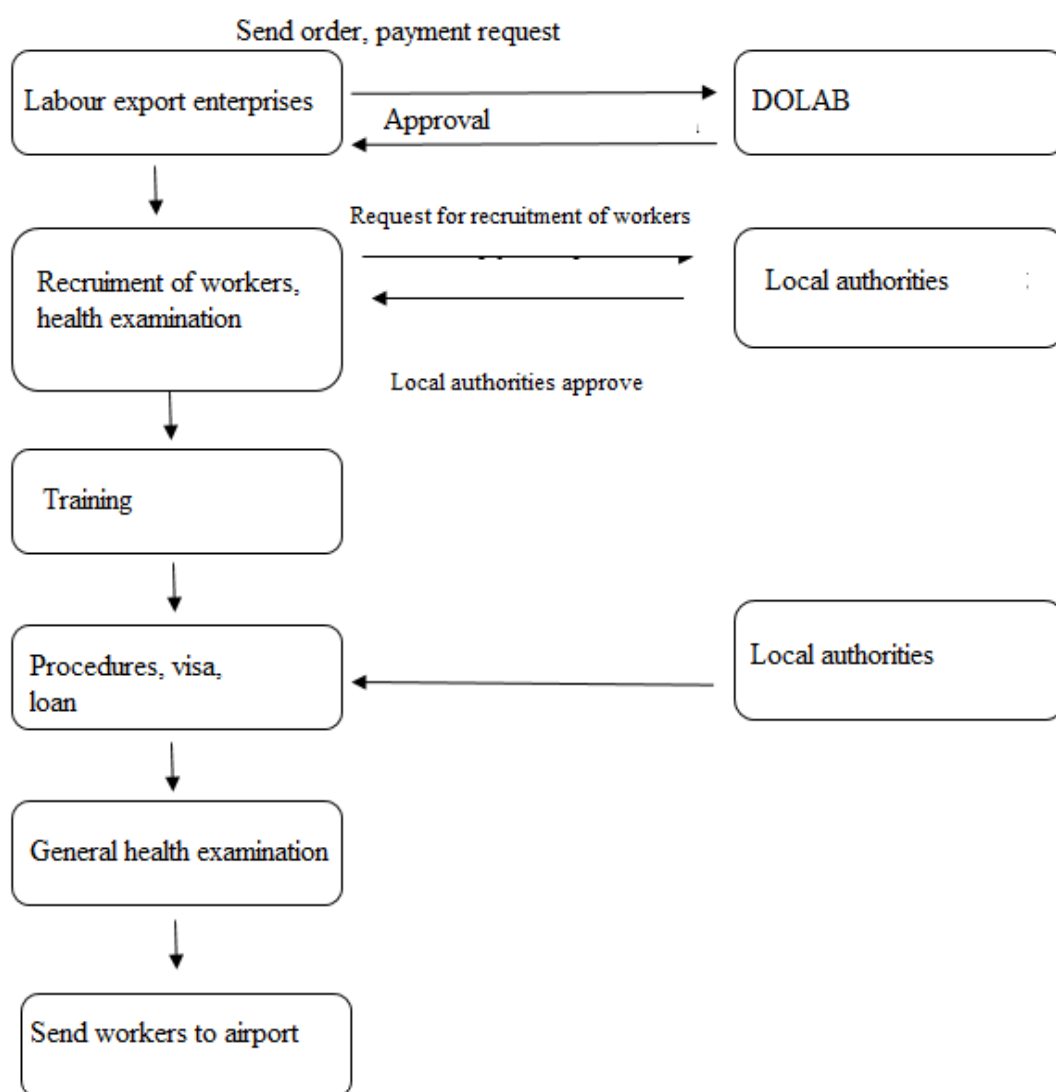
- *Financial mechanism:*

+ Activities at the center: central state budget allocated in the annual estimates of The Ministry of Labour - Invalids and Social Affairs; management, usage, settlement of funds under the current regulations;

+ Activities at the local: central state budget supporting targets for the local basing on the annual estimates of province; management, usage and settlement of funds under the current regulations.

Implementation process of the Scheme 71 (Figure 3.1)

**Figure 3.1. Process of sending workers to work overseas under the Scheme 71**



***Explains:***

+ Enterprises send their requests to the DOLAB on the plan for recruitment, orders, export markets to approve.

+ DOLAB has written approval of orders, recruitment plan and forms of payment for support activities for enterprises

- + Enterprises work with people's committee of districts, communes on the recruitment of workers for export. Then, enterprises coordinate with division of labour of districts and commune authorities to implement propaganda and mobilization of people eligible for support to participate. People send documents with the confirmation of commune to division of labour of districts before the list of candidates is sent to enterprises by the division of labour.
- + Enterprises organize health exams for candidates in medical establishments.
- + After being recruited, workers can participate in training at training institutions of enterprises. In addition to training support, workers are supported in legal procedure, visa and bank loans by enterprises.
- + Workers will be examined health after training and before doing exit procedures.
- + After workers go abroad, enterprises make payment to DOLAB or DOLISA for the amount supported by the State.

### 3.2 Implementation status and results

#### *(1) Implementation status of the Scheme*

- According to DOLAB, by now, there are 60/64 poor districts implement the scheme with 50 enterprises. There are more than 300 labour supply contracts, of which 21 enterprises are selected to training and send workers to work overseas.

- This is the first time workers working overseas receive quite comprehensive support from the State, so enterprises are inevitable to avoid embarrassing in doing procedures to receive this support.

#### **Box 3.1: There are some difficulties for enterprises to access the scheme**

*There are many cases give up without reason after completing all procedures of labour export contract. Although the number of young workers register for labour export under the Decision 71/CP is significant, the number of workers sent to aboard is small because of health reason or abandonment of their process. For example, from 1/2014 to 5/2015, 176 people apply to work overseas via Song Da Jsc, but only 80 people get exit permit, 57 people do not meet health requirements, 39 people give up. Many people do not come on day to do final procedure for exit permit. When contacting to the family, they say that "not go". These cases leave a bank debt to family. From this fact, Song Da Jsc has faced with many obstacles when consulting and recruiting workers to work overseas under the Decision 71/CP.*

*Source: Interview with a director of labour export enterprise, 2016*

- Some enterprises have not seen the social responsibility, afraid of difficulties so not actively participate. Some enterprises participate in the scheme but not pay seriously attention to management, not direct or strictly control leading. Thus, the lack of responsibility or assigning totally the implementation to branch leads to the errors in selection process, delay in departing for workers. This causes the loss of confidence of workers and brings serious impact on the implementation of the scheme in some provinces such as Thanh Hoa, Nghe An, Kon Tum, etc. Some labour export enterprises argue that the training for workers in poor districts also face with many difficulties. Workers are not only limited in educational level, skills, but also heavily

influenced by backward customs and lifestyles, etc. so the training can not be done in normal way as in delta areas.

### **Box 3.2: Interview with staff on the implementation of the Scheme 71**

*A staff in Nghe An said that: the small number of workers working overseas under the decision 71/CP is because workers in Malaysia have low income. The procedure for bank loan is difficult because many labour export companies do not follow programs of the Decision 71/CP, while workers would like to go overseas under this Scheme. Additionally, some companies implement the decision 71/CP, but when doing disbursement procedure, they do not have referral letter of DOLAB, so banks can not disburse fund leading to workers unable to depart; there are still 9 people in Luong Minh commune, Tam Quang (Tuong Duong) commune signing contracts with Vinh Cat investment Jsc have not been departed yet for the above reasons. Mr Kha Dinh Phe adds: due to low income in Malaysia, while workers in this mountainous area are unfamiliar with working style at companies, so currently many young people come to Laos, China, or big cities to work unskilled jobs, etc. In Ky Son district, according to Ms Xa Thi Xi - Secretary of the District youth union, said: many union members are not interested in working in Malaysia because of low income, they seek jobs by themselves; currently, nearly 100 union members in Huu Kiem commune, Muong Ai commune go to work so far without address.*

*Source: Interview with 10 staff of districts (Tuong Duong and Ky Son Districts of Nghe An province), 2016*

- Activities of the scheme are allocated fund from the annual estimation of MOLISA; management, using and settlement of funds is in accordance with current regulations;
- Activities at local: the central budget is intentionally allocated to local on the basis of annually budget estimation of province/city; management, using and settlement of funds is in accordance with current regulations;
- The settlement of enterprises with DOLISA are done in two ways: (i) support through contracts to order with enterprises/ vocational training institutions; (2) direct support to workers (if they register directly with enterprises)
- According to evaluation of MOLISA, after nearly 3 years of implementing the Scheme, local authorities have actively cooperated with MOLISA and functional agencies to organize conferences to implement the scheme to districts and communes. Some provinces have applied policies of the Scheme to support workers in communes with high poverty rate but not include in 62 poor districts when participating in labour export by local resources such as Yen Bai, Lam Dong, Ha Giang, Thanh Hoa, Nghe An, etc.
- To ensure the benefits of workers, DOLAB has sent official letter to DOLISA of provinces about the selection of workers for the free labour export program. Accordingly, DOLISA is responsible for propagating the benefits of working overseas. However, the results indicate that there is a need of simultaneous implementation of many solutions such as raising educational level and vocational training for ethnic minority workers, changing awareness of people to bring real effectiveness for the Scheme. By doing that, the Scheme will avoid difficulties in implementation.

- Besides that, it should propose to the Vietnam Bank for social policies to revise the guidelines on procedures and process for borrowing loan for workers in 62 poor districts to work oversea in the direction of having specific mechanism and procedures.

- Localities will continue to promote information and propaganda on labour export policies. Especially, the propaganda should focus more on the interests of workers in participating in labour export. Effective models for labour export should be used at local. Individuals, household member working overseas will contribute to poverty reduction and economic condition of their family.

- In some localities, there are 100 workers come to the propaganda class but only 10-20 people stay until the end of training. The reason is there are some companies have cheated or published bad news about the labour export program leading to confusing for workers. Some people are afraid of risks may happen when working overseas, so they do not allow their relatives to join the counseling programs.

## **(2) Results**

According to the statistics of MOLISA, by the end of 2015, Vietnam has exported 10,000 workers in 60/64 poor districts to work overseas, in comparison with total number overseas workers of Vietnam, the number of 64 poor districts accounts for nearly 0.5%, while population of 64 poor districts are around 2.4 million with 1.3 million people in working age. This number is quite small compared to the objective.

### **Box 3.3: Implementation results of the scheme in Thanh Hoa province**

After 6 years of implementing the Scheme 71, Thanh Hoa has more than 2,232 workers from 7 poor districts working overseas under definite-term contracts, mainly in Malaysia, Middle East, Taiwan, Japan, South Korea, etc. This number is actually not high but it is impressive in comparison with many provinces. However, the representative of Thanh Hoa DOLISA said that the labour export in these poor districts are going down and facing with many difficulties. There are 588 workers going to work overseas in 2009, 823 workers in 2010, 451 workers in 2011, and in 2012 and 2014 are only 310 and 100 workers respectively. In which, Quan Hoa, Muong Lat and Quan Son districts have no overseas worker.

Many enterprises have come to remote mountainous areas to consult, propagandize, mobilize workers. They think that workers will register much more because of many priorities, but the results are totally opposite. Many people are very eager to vocational training, language training, complete loan procedure and exist permit after getting consultation, but their spouse does not agree for them to go aboard, so anything is stopped. Thus, difficulties are pushed to the local authorities, especially to enterprises, because they have wasted too much time and money for training and consulting.

There are many cases that have applied for their children to work in Taiwan with the cost of more than VND 90 million. However, the family can only borrow the Bank of Social Policies VND 65 million according to their standards, so they give up because of unaffordable of VND 30 million.

*Source: Interview with Thanh Hoa DOLISA staff, 2016*

Workers are still afraid and embarrassing when participating in the scheme. So they give up halfway, causing significant damage to labour export companies (Table 3.1)

**Table 3.1: The rate of workers participating in the Scheme's activities (%)**

a. Registration	100
b. Pre-health examination compared with registration	100
c. Participate in training before departing compared to registration number	
c1. Training on necessary knowledge compared to registration	60
c2. Short-term vocational training compared to registration	50
c3. Training on language compared to registration	95
d. Apply for exit permit compared to registration	
d1. Judicial record	62
d2. Passport	60
d3. Visa	57
e. General health examination before departing	52
f. Waiting for departing	50
g. Returning home before the contract time compared with departing	20

*Source: survey on workers working overseas in Nhu Xuan, Thuong Xuan districts, Thanh Hoa province, 2015*

### ***(3) Difficulties, shortcomings and causes***

#### ***Difficulties, shortcomings***

- There are many difficulties in payment procedures. Some enterprises said that if the number of workers departing is more than 70% of number workers completing the training course, the procedure is easy. But if it is lower than 70%, the procedure is complicated (they have to explain many times), while the number of workers give up halfway is high.<sup>11</sup>

### **Box 3.4: Strengthening the monitoring and supervision of the Scheme 71**

The administration, monitoring and supervision of enterprises and localities should be strengthened. The rate of workers does not meet the requirement on health is high. Additionally, the unfamiliarity with the industrial working style also makes the high rate of giving up training programs.

Ministries and sectors should continuously review, research and complete policies, propose solution to the Government to achieve better results in poverty reduction, improvement of living standard, especially for ethnic minority people. Localities should strengthen the cooperation with ministries, sectors at the Central level during implementing the policies, programs, project of socio-economic development.

*Source: Interview experts in labour export, 2016*

<sup>11</sup> Interview labour export enterprises in Thanh Hoa, ILSSA 2014

- In addition to difficulties and shortcomings related to the consultation, propaganda for people in poor districts to understand the benefits of working overseas, the narrow export labour market also limits the opportunities for choosing people or choosing jobs. In nearly 7,000 overseas workers, the number of workers going Malaysia is the highest, around 3,500 workers accounting for around 50%; UAE: around 550 people, around 8%; Libya: 560 people, around 8%; Laos: 500 people, around 7%, Arabia Saudi: 180 people, around 2.6%; the left number is in Macao, Taiwan, Japan, South Korea.

- The coordination during the implementation of the scheme is not frequent among implementation units. Procedures for ID card, judicial records take too much time (in some areas, workers have to spend 1-1.5 months for ID card or judicial records), procedure for disbursement of Vietnam bank for Social policies is unreasonable so workers have to go many times affecting the flight schedules and their psychology.

- The mobilization and propaganda for workers is difficult but keeping them to commit the agreement is more difficult.

### **Box 3.5: Interview labour export experts**

Mr. Nguyen Ngoc Hoan - Director of Gaet Vocational Training – Labour Export company (Ministry of Defense) said: the company has one time come to Quan Hoa district, Thanh Hoa province to consult and convince more than 40 candidates to Malaysia. However, this number is 19 people when making procedures and 5 people when taking them to Hanoi for training, then they leave all.

*Source: interview a labour export expert, 2016*

#### *Reasons:*

- The majority of workers in poor districts are ethnic minority with low qualification. They are not familiar with working away from home and family so many people have left the contract after a short time of working. Many workers have finished the orientation course, but they decide not go aboard before the departure date because of homesick.

- The ability of workers (qualification and finance) is hard to go the “difficult” markets such as South Korea, Japan, Europe, most of workers can only work in low-wage markets such as Malaysia, Middle East, Taiwan, etc.

- From interviews with workers, they have to spend from VND 23-25 million for going to work in Malaysia. Although they have supported on accommodation, travelling and learning costs, even fees for ID card and passport, they still have to borrow VND 20-25 million for service fees. This amount is quite high for poor people in mountainous areas.

#### *General comments*

#### *Positive points:*

- The attention and close direction of authorities at all levels have helped to accelerate the labour export work in many areas. The steering committee for labour export in districts, communes and villages have been established to strengthen the management of the Scheme.

- The awareness of people on the Scheme's benefits have been gradually improved, they are aware that working overseas plays an important role in increasing income and improving living standards for their families.

- Basically, labour export enterprises have strictly followed the procedures, regulations for workers in the process from registration to selection to depart.

- Support of the State has encouraged workers to participate in the Scheme

- Support programs and policies to preferential loans through banks and state organizations are highly appreciated by workers with practical support on loans for workers before departure. Most people feel comfortable with loan procedures.

#### *Limitations*

- The quality of labour is low, the majority of workers working overseas are only completed secondary school and unskilled.

- The propagation is not really effective. Many people do not know which support they are eligible and what costs they have to pay, which leads to the fraud of enterprises. Additionally, the updating and adoption of policies of staff is inadequate with many obstacles in implementing as well as accurate information for workers.

- Short time for orientation/language and vocational training (mostly less than 1 month) plus with low quality of training and sketchy training contents without checking/management is resulted in difficulties for workers to live, work and integrate in overseas.

- The amount of money that workers transfer to their families are use ineffectively. In addition to pay debts, money earned from labour export is used to saving, while very low proportion of money is invested in education or business.

### **3.3. Current status of monitoring, evaluation of the scheme in recent time**

#### ***(1) Organization, apparatus for monitoring and evaluation***

The information system on sending workers to work overseas under contracts has been monitored, managed and reported periodically by the DOLAB. The information sources are from periodical reports of localities and enterprises submitting to DOLAB.

The monitoring and evaluation process of labour export is implemented in 4 levels: national, province, district and commune. Accordingly, the tasks of each level as follows:

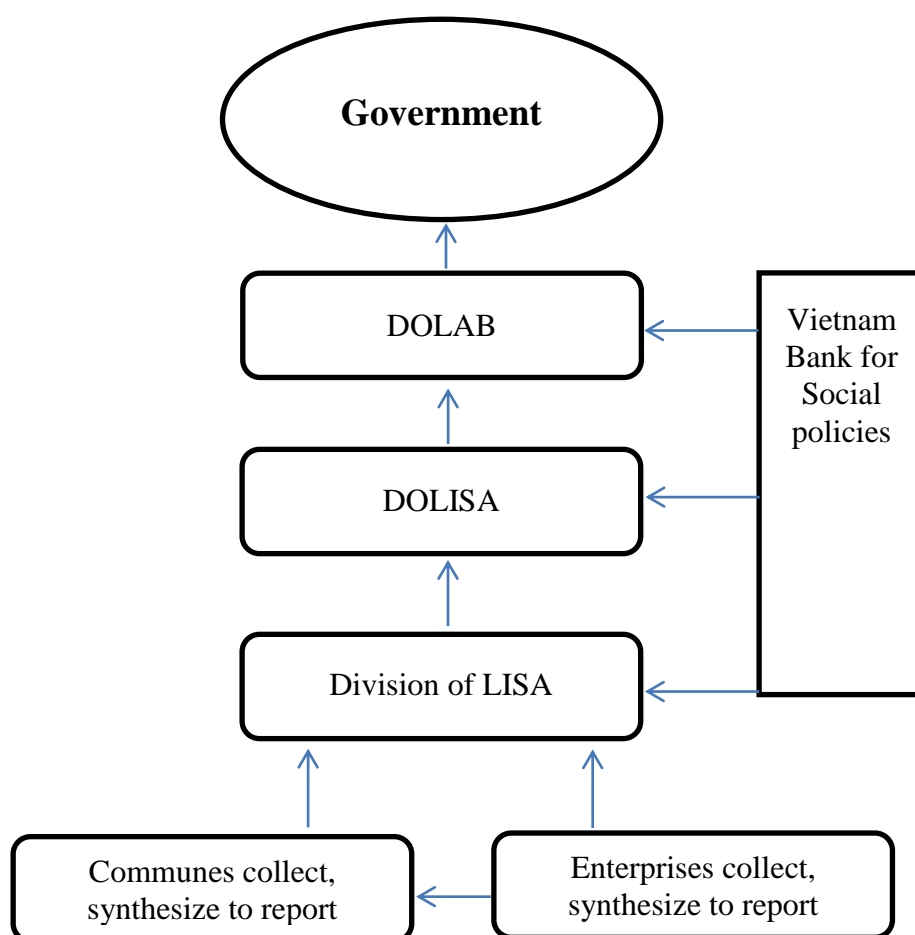
The commune level is responsible to collect information for monitoring, evaluating the implementation results from the periodical reports of enterprises to report to the district level.

The district level synthesizes commune's reports to report to the provincial level.

The provincial level is in charge of summarizing reports, results of districts and report to the Central level to be a basis for policy making.

The Central level synthesizes reports from provincial level and enterprises to report to the Government (Figure 3.2).

**Figure 3.2. Monitoring and evaluation process of the scheme**



*Source: The author*

The survey shows that, currently, staff in charge of monitoring, evaluation is mainly plurality, with no mechanism for monitoring and evaluation activities; the cooperation in collecting, synthesizing and reporting is not strict, the evaluation is mainly done people who implement the Scheme, so the evaluation is not objective enough.

## ***(2) Contents, forms and methods for monitoring, evaluation***

Every year, within the framework of functions and tasks, the State management agencies organize to monitor and evaluate the implementation of the Scheme.

### ***Monitoring***

*Content:* Focus on tracking the progress of the scheme. Give recommendations to timely adjust to ensure the plan and timeline of activities.

*Form of tracking:* (i) organize periodical meetings and business trips; (ii) quarterly, every 6 months, annually reports. These reports record all the progresses of activities, finance and the completion rate in comparison with plan. Some statistics forms used to collect quantitative information are also submitted together with reports.

*Tracking method:* Use a combination of direct method (periodical tracking), internal tracking and specialized tracking (for each specific issue).



*Tracking tools*, collecting data/information mainly through questionnaire/ survey or in-depth interview. From discussing with management levels, it is clear that collecting data is currently implemented at the district and central levels. The provincial level has no specialized unit responsible for data management of labour export in poor districts, so the data management is not smooth. On the other hand, labour export in poor districts is a component of the project 30a, which is not included in labour export projects in general, so it is still separated.

*Fund sources*: for tracking the scheme: State budget

### ***Evaluation***

According to the results of the survey, actual implementation situation and overview of current legal documents show that the evaluation system has not been formed and operated consistently. There are only separate evaluation activities carried out by organizations/agencies through thematic studies. These evaluation activities often use the pre-post evaluation model and the measure of achievement level to assess changes in quality and quantity of targets and indicators of the scheme. The source of information, data for evaluation is based on (i) data from management information system such as reporting system, data collected by administrative levels; (ii) data from the current statistical system (local, central); (iii) data from surveys conducted by agencies, organizations.

### **3.4. Shortcomings**

- Have no monitoring, evaluation system of scheme in nationwide; have no indicator system for monitoring and evaluation.
- Difficulties in collecting data according activities/components of scheme in systematic and updated way;
- The majority of agencies/units are limited in capacity of monitoring and evaluation; staff are not equipped with necessary knowledge, skills to implement the monitoring and evaluation tasks.
- Monitoring and evaluation activities are too formal, sometimes is confused with inspectorate activities, etc.

## **IV. ANALYTICAL METHODS AND DATA COLLECTION**

The study has been conducted using mixed methods or combined methods of qualitative and quantitative methods, namely:

- Focus group discussion: 160 persons.

Participants: Labor, Invalids and Social Affairs officials (at provincial and district level), Labor exporters (central and provincial level)

Quantity: 10-15 persons/each discussion

The author has built questionnaires, suggestions for group discussion, focusing on method of data collection, content of data collection and measurement of collected data (Appendix 02).

- Interview: 100 persons (by e-mail), feedback: 60% including participants: Labor, Invalids and Social Affairs officials (at provincial and district level), Labor exporters (central and provincial level)

Quantity: 60 collected feedbacks

The survey content is:

- Indicators to control the objectives of the project: Total fund as planned: National fund; Local fund; Other sources; Total disbursed fund (National fund; Local fund and Other sources); Number of enterprises participating in Scheme 71; Number of training institutions participating in the Scheme; Number of state managers (full-time/plurality) participating in the scheme; Number of employment consultation/introduction supported to establish; Number of staff involved in consultancy;

- Indicators by each activity of the scheme: Planned fund of communication activity (National fund; Local fund; Other sources); Disbursed fund of communication activity (National fund; Local fund; Other sources); Planned fund of complementary education activity (National fund; Local fund; Other sources);

- Indicators by each activity of the scheme: Planned fund of training activity: (National fund; Local fund; Other sources); Disbursed fund of training activity (National fund; Local fund; Other sources); Support fund to exit permit; Disbursed fund of complementary education activity: (National fund; Local fund; Other sources); Support fund to exit permit.

- Indicators on support workers in the scheme; Planned fund of risk support (National fund; Local fund; Other sources); Disbursed fund of risk support (National fund; Local fund; Other sources); Planned fund of preferential credit (National fund; Local fund; Other sources); Disbursed fund of preferential credit (National fund; Local fund; Other sources);

- Indicators on funds for communication and training activities for staff of the scheme: Planned fund of improving management capacity (National fund; Local fund; Other sources); Disbursed fund of improving management capacity (National fund; Local fund; Other sources);

- Indicators on fund for employment consultation/introduction activity: Planned fund of employment consultation/ introduction (National fund; Local fund; Other sources); Disbursed fund of employment consultation/ introduction (National fund; Local fund; other sources);

Indicators to control the objectives of the project: Number of workers going to work overseas; Rate of ethnic minority workers; Rate of Kinh workers in poor districts; Rate of Kinh workers in poor districts; Rate of workers in non-poor households; Rate of workers receiving employment consultation/introduction in total workers returning home; Rate of employed people in total number of consulted workers.

- Indicators by each activity of the Number of worker received complementary education participating in labour export e scheme: Number of propaganda sessions; Number of propaganda sessions; Rate of people meet requirements on general education level in total number of participants;

- Indicators on training before departing (vocational/language/necessary knowledge training): Number of vocational training, language and necessary knowledge institutions are supported to establish; Number of people supported on necessary knowledge; Number of people supported on language education; Number of people supported on vocational training.

- An indicator for exit permit (passport, visa, health examination, judicial record): Number of people departing.

- Indicators on support workers in the scheme: Support to relatives of dead workers; Support to accidents and sickness victims; Support to other objective risks; Support to enterprises (1 flight ticket); Other support funds; Number of poor households eligible for preferential loans; Rate of poor households received loans compared to the plan; Number of poor households with outstanding balance; Number of ethnic minority households eligible for preferential loans; Rate of ethnic minority households received loans compared to the plan; Number of ethnic minority households with outstanding balance; Number of households of other groups in poor districts eligible for preferential loans; Number of households of other groups in poor districts eligible for preferential loans; Risk support.

- Indicators to support capacity building for managers of implementation organizations: Number of investment projects supported to establish; Number of labour export support centers supported to establish; Number of people supported from labour export counseling activities; Number of electronic data centers, websites supported to establish; Number of networks of labour export collaborators are established; Number of newsletters/ publications; Number of TV shows; Number of other forms of propaganda;

- Indicators on fund for employment consultation/introduction activity: Number of legal documents on mechanism, policies for labour export are issued; Number of programs, curriculums, documents on labour export are composed; Number of training courses on labour export are organized; Number of participants working in labour export field are trained; Number of workshops, training sessions on labour export; Number of participants; Number of exit delegations; Number of delegators.

Number of entry delegations; Number of delegators.

- Addition: Number of people receive employment introduction/ consultation; Number of people are consulted to use fund.

- Indicators on effectiveness, impact: Rate of households out of poverty thanks to labour export; ; Rate of households getting rich thanks to labour export; Number of people are created jobs in Vietnam from labour export in poor districts; Rate of participants meet requirements of necessary knowledge training; Rate of participants meet requirements of language training; Rate of participants meet requirements of vocational training; Amount of loan and interest rate refunded on time; Amount of loan and interest rate not refundable; Rate of workers starting up their firms thanks to employment consultation/ introduction; Rate of workers employed through employment consultation/ introduction.

- Data resource: Provincial and district levels from group discussion and interviews

The questionnaire of the survey questionnaire is built by the author at the *Appendix 3*. The results of the survey are the resources of sample for author built the system for monitoring and evaluation of Scheme no. 71.

## **V. BUILDING THE SET OF INDICATORS FOR MONITORING AND EVALUATING “THE SUPPORTING SCHEME TO POOR DISTRICTS IN PROMOTING LABOUR EXPORT IN THE PERIOD OF 2009 - 2020”**

Based on theoretical analysis, the current status of similar programs, the author proposed building the set of indicators for monitoring and evaluating “the supporting scheme to poor districts in promoting labour export in the period of 2009 - 2020” as follow:

### **5.1. Objectives, requirements and principles for developing indicator set**

#### ***(1) Objectives***

##### ***General objective***

Build a set of indicators to collect and provide realistic and objective information on the implementation and results of all stages, aspects of the scheme, to control the organization and implementation process to have appropriate decisions in adjusting, supplementing, upgrading, improving the effectiveness of the scheme.

##### ***Specific objectives***

- Promote the monitoring, evaluation and improvement of the reporting system at all levels;
- Ensure the transparency in the use of resources and policy regimes of the scheme;
- Provide information for planning, supplement, adjustment of current policies of the scheme;
- Monitor, control the objectives of the scheme.

#### ***(2) Requirements***

*The set of indicators and each indicator must meet the following criteria:*

- *Useful*, each indicator must be practical for the state management agencies and relevant parties, this is a tool to collect evidence for the effective management of the Scheme;
- *Coverage*, the indicator set should reflect all aspects, stages, activities of the scheme to serve the comprehensive monitoring and evaluation;
- *Detailed*, each indicator must reflect each specific aspect of the scheme, is the measure of progress/results of each stage, each activity, thereby control each aspect of the scheme;
- *Clear*, each indicator must have clear and understandable definition and scope (avoid misunderstanding); has units, formula, collecting method, collecting frequency, etc.
- *Feasible*, each indicator must be available and included in activities of the scheme, able to collect information in practice (must be implemented in practice);
- *Point of time*, indicators must be able to reflect at the same point of time, on the same basis of data and same definition;
- *Separately*, ensure the uniqueness/ independence among indicators of a set (should not have too many indicators in a set reflecting same aspect of the scheme), should not use an indicator that is a result of another indicator;

- *Comprehensive*, there must be a combination of quantitative and qualitative indicators, in many cases, qualitative indicators are more important than quantitative.

### **(3) Principles**

*Firstly*, closely follow the objectives, requirements and scope of the scheme, from that to identify necessary indicators for monitoring and evaluation;

*Secondly*, closely follow theoretical framework, stages of the scheme, develop the indicator set for monitoring and evaluation of the scheme, cover all aspects, stages, activities including inputs, activities, outputs, results and impacts.

*Thirdly*, based on the capacity of the apparatus to implement activities of the scheme, monitor and evaluate the scheme, so the indicator set can be operated smoothly.

*Fourthly*, the design of monitoring and evaluation system must be linked with the planning and design of policies, implementation of policies to ensure consistency and smoothness when operating the indicator set.

Through seminars, discussions, interviews, consult experts on the achievement level of criteria of each indicator to see the strengths, weaknesses, limitations for supplement, adjustment for each indicator and indicator set.

## **5.2. Monitoring indicators**

The results of testing indicator set:

Synthesis of feedback of respondents about the Scheme's evaluation and monitoring system indicators which can be collected, cannot be collected and supplemented, including:

- *Appendix 4.1. Indicator set of controlling input, operation*

- *Appendix 4.2. Indicator set of outputs, results*

- *Appendix 4.3. Indicators on effectiveness, impact*

The results from testing the monitoring and evaluation indicators at local show that:

Only 25 in 75 tested indicators reach 4 criteria, 11 indicators meet  $\frac{3}{4}$  criteria, 21 indicators meet  $\frac{2}{4}$  criteria, 11 indicators meet 1 criteria, 10 indicators do not meet.

Indicators that meet 4 criteria are worth for using, which are useful for management.

Indicators meet 3 criteria, the author has reviewed each one, consulted experts, revised to put into the indicator system.

Some indicators do not meet 4 criteria because it is unable to collect information (not feasible) or they are not meaning for practices of management, the author removes them.

The set of indicators after testing has been revised to choose 50 indicators. Of which, 16 indicators for controlling inputs, operation; 25 indicators control outputs, results; 9 indicators control the effectiveness, impact (Appendix 4.1, 4.2, 4.3)

## **5.3. Conditions to apply indicator set**

### **(1) Institutional policy**

- Law on Vietnamese workers working overseas under contract (effective from 1/7/2007) and a number of legal documents issued to meet the requirements of Law and new situation.
- Decree 126/2007/ND-CP dated August 1, 2007 of the Government on detailed implementation of the Law on Vietnamese workers working overseas under contracts.
- Decree 144/2007/ND-CP dated September 10, 2008 on sanctioning of administrative violations in the sending of Vietnamese workers to work overseas
- Decision 144/2007/QD-TTg dated August 31, 2007 on setting up, management and use of the overseas employment support fund
- Joint circular 08/TTLT-BLDTBXH-BTP dated July 11, 2007 providing detailed guidelines on a number of issues about contents contained in guarantee contracts and liquidation of guarantee contracts for workers working overseas under contracts.
- Joint circular 16/2007/TTLT-BLDTBXH-BTC dated September 4, 2007 on specific regulation on brokerage and service fee in the operation of sending Vietnamese workers working overseas under contracts.
- Decision no.19/2007/QD-BLDTBXH dated July 18, 2007 on the promulgation of the “regulation on the organization of the system for placement of workers on overseas employment and the specialized system of essential supplemental training for workers prior to overseas employment:
- Decision no.18/2007/QD-BLDTBXH dated July 18, 2007 on the promulgation of the essential supplemental training program for workers prior to overseas employment
- Joint circular 17/2007/TTLT-BLDTBXH-NHNNVN providing for the management and use of deposit of enterprises and workers working overseas under contracts
- Decision no.20/2007/QD-BLDTBXH dated August 2, 2007 issuing certificate of essential supplemental knowledge for workers prior to overseas employment.
- Decision no.71/2009/QD-TTg dated April 29, 2009 of the Prime Minister approving the project on supporting poor districts in promoting the sending of workers overseas for sustainable poverty reduction in the period of 2009 - 2020

## ***(2) Conditions for the application of the monitoring and evaluation indicators***

- The monitoring, evaluation system must be approved and promulgated by competent authorities at all levels. It is necessary to have the close direction of leaders of ministries/ sectors and provinces having poor districts in the process of implementing the monitoring and evaluation in practice;
- Awareness of leaders and staff at all levels on the necessary to implement the monitoring and evaluation activity, to understand this is a tool to provide feedback as a basis for the adjustment to improve the effectiveness of the scheme.
- Have manuals to implement the monitoring and evaluation activity at all levels
- Training for staff involved in the monitoring and evaluation system at all levels to have enough knowledge, skills and attitudes to implement tasks.

- Establishment of technical support team/department for the monitoring and evaluation at the central. The task of this team are technical guidance and support for other levels in dealing with difficulties, obstacles during implementing.

## **VI. SOLUTION IN THE APPLICATION OF INDICATOR SET**

Based on the proposed above set of indicators, in order to apply it effectively, the author recommends some solutions for building, guiding implementing, state management and role of labour exporting enterprises, as follows:

### **6.1. For building and directing the implementation of monitoring and evaluation**

#### ***(1) Building and direction work***

In order to have legal basis for implementing the monitoring and evaluation indicator set of the scheme, DOLAB is responsible for building and submitting to MOLISA to review, issue indicators in the form of legal documents in accordance with legal process. Specifically:

- Consult experts, scientists, managers and impacted subjects of indicators (enterprises, workers and relevant organizations, agencies). Comments from experts, scientists, managers and impacted subjects are collected through meetings, workshops and seminars; at the same time, consult ministries, sectors, localities and relevant agencies/organization by written documents.

- Receive and explain the comments to complete the draft of indicator set of the supporting scheme to workers working overseas under contracts.

- Organize to review the draft

- Receive and explain the comments of the legal agencies and finalize report and draft of indicator set before submitting to competent authorities for promulgations.

- Submit to the Minister of MOLISA to issue the monitoring and evaluation indicator set of the supporting scheme to workers working overseas under contracts.

#### ***(2) Technical support to implement the monitoring and evaluation activity at all levels***

The national technical team for monitoring and evaluation develops manuals for implementing objectives of the scheme, including: (i) manuals for monitoring, evaluation of achievement level of objectives, (ii) manuals on methods, tools for monitoring and evaluation.

The national technical team organizes to training, technical training for monitoring and evaluation units at provincial and district levels on: (i) all related legal documents; (ii) providing knowledge and basic skills for monitoring, evaluation; (ii) training to use manuals to implement.

The national technical team gives advice and support to deal with difficulties during implementing indicators.

#### ***(3) Raise awareness for staff at all levels on monitoring and evaluation of scheme***

Monitoring and evaluation units at all levels organize propaganda to raise the awareness of staff on the necessary of building and implementing the monitoring, evaluation system as well as its role and benefits.

#### ***(4) Ensure fund for implementation of monitoring and evaluation***

It is necessary to ensure sufficient and timely fund for monitoring and evaluation units at all levels. The budget for this activity should account for at least 5% of total budget of the scheme.

#### ***(5) Promote international cooperation in the building and implementation of the monitoring and evaluation mechanism***

Promote bilateral and multilateral cooperation to attract technical and financial support for building and implementation of the monitoring and evaluation mechanism at all levels.

### **6.2. Organization and state management of labour export**

#### ***(1) Organization and state management of local authorities***

- Local authorities issue their own documents and policies; targets to send workers to work overseas must be included in socio-economic plan of localities.
- Plan of propaganda, dissemination and introduction of legal documents: number of times, timeline, specific forms, participants and implementation areas.
- Organize the apparatus for monitoring, managing, implementing the sending of workers to work overseas
- Annually and periodically reporting regimes of implementation units.
- Monitor and manage overseas workers, guide and introduce jobs; create conditions to encourage overseas workers to invest in production, business after returning home; preferential credits for job creation, etc.
- Evaluate quality and effectiveness of scheme: number of workers go overseas, number of returning workers are employed, number of households out of poverty thanks to scheme, etc.

#### ***(2) For labour export enterprises/ organizations***

Method of selecting workers to work overseas (directly or indirectly through other organizations)

- Organize training for workers before going overseas
- List of expenses for working overseas before going by markets
- Support loans, expenses for workers before exporting
- Average income by markets (detailed)
- Method of transferring money to relatives or families, etc.
- Amount that companies or branches must pay for management agencies at all levels in recruiting workers for export
- Management, monitoring, use of workers in foreign countries and after returning home.
- Employment status and living conditions of overseas workers
- Implement reporting regime under the regulations of enterprises or branches.



### **6.3. Organize the implementation and application of the monitoring and evaluation indicator set of the scheme**

#### ***(1) Organize the dissemination, propaganda of the indicator set***

To operate the monitoring and evaluation indicator set, it is necessary to organize information, dissemination to all labour export enterprises, labour agencies, local authorities, workers and the whole society to know and apply to each specific purpose.

#### ***(2) Organize training on implementation of indicator set***

Organize training for staff of labour export enterprises, local authorities to properly understand the content of indicator set and method to identify, calculate score for each component criteria. This is important stage which has decisive role because in fact, staff of enterprises, organizations in charge of sending workers to work overseas, local authorities directly organize, deploy the monitoring, evaluation and application them to their agencies. Lecturers/ reporters of training classes must be people who understand deeply on the monitoring and evaluation indicator set.

#### ***(3) Build the channel of feedback on the implementation of indicator set***

Organize to build the regulation for receiving and feedback from workers, local authorities, NGOs and enterprises, etc., on the compliance of labour export enterprises to the monitoring and evaluation indicator set. This is an important information source to measure the feasibility of indicator set when applying in practice.

## **VII. CONCLUSION**

This report evaluates overall the system of monitoring and evaluation of Scheme 71, focusing on reviewing and evaluating the current status of the system, reviewing criteria, indicators are currently used for monitoring and evaluation; point out the achievements, shortcomings, causes and recommendations for completing in the coming time.

Moreover, by literature review and consultation with relevant agencies at central and local levels, the report has following specific objectives:

Firstly, evaluation of current status of the monitoring and evaluation indicator system of current scheme from central to local (strengths, shortcomings and limitations).

Secondly, an overview, analysis of monitoring and evaluation indicator set of Scheme 71 (criteria, information source, method of collecting information, reporting mechanism, frequency, etc.) to take indicators that are able to apply similarly to system in the new period.

Thirdly, analysis of monitoring and evaluation indicator set of Scheme 71 (in terms of mobilization resources, beneficiaries, operation mechanism, outputs, impacts, results, etc.) to take criteria that are able to apply to the system in the new period.

Fourthly, building the monitoring and evaluation (M&E) indicator set of the Scheme (criteria, information source, method of collecting information, reporting mechanism, frequency, etc.) to increase the transparency, centralized/ online management, continuous regular monitoring of the implementation, results as well as impacts.

Finally, propose testing the M&E indicator set to consider the consistency and feasibility.

On the other hand, the findings show that the current M&E system has the following characteristics:

(i) Many agencies and partners are involved in the monitoring work including the National Assembly, People's Councils at all level, Fatherland Front, mass socio-political organizations, people and community.

(ii) The forms of monitoring are diversified including periodical administrative report system, inspectorate team to grassroots level, receiving of comments, feedback, complaints of people, etc.

(iii) The system for monitoring, management, information providing is based on governmental and administrative system from commune level, not assign separated human resource and fund. This monitoring system is simple, which can be decentralized to the commune or even village.

(iv) Major policies have been guided specifically and required to provide information according to reporting templates (including indicators on information collection) is the most important input for monitoring.

(v) Currently, the indicator set (criteria) of national and sectoral levels, and indicators of each (group) policy have been developed and grouped by beneficiaries in general method which covers all beneficiaries and components of the system. These indicators mainly serve for the management and implementation of policies.

(vi) These indicators are used regularly, have regulation on periodical report and levels of report. This is inputs for planning and implementing policies. This indicator is collected and managed on the basis of administrative report system.

(vii) Results of monitoring are represented in reports on performance of the Scheme. The current monitoring system has provided a part of important data, information for tracking, reviewing the implementation process of policies, as well as the basis for adjustment old policies, and for designing new policies.

However, the monitoring system has some following limitations:

*First*, although there are many partners participating in monitoring, the role and responsibilities of parties are unclear and not specific. Many monitoring activities do not promote their roles such as monitoring activity of people and community under the grassroots democracy policy.

*Second*, the system of management, monitoring and providing information are based on the governmental and administrative system reported from communal level, without staffing and separated fund leading to the burden of jobs for staff and low objectivity, not updated and asynchronous.

*Third*, For each policy, program, there is a system or a set of indicators which are not referred to others. In other words, indicators exist independently and scattered by each policy.

*Fourth*, the system of indicators, criteria for monitoring has not been completed and not standardized with unclear information collection mechanism, lack of information at high level (central, provincial). The quality of information is not ensured due to asynchronized management information content and inconsistent forms. There are no independent data sources for cross checking.

*Fifth*, the indicators mainly track the relation to the number of beneficiaries. At the present, this set of indicators do not have indicator to reflect the trend as well as correlation with changes of internal factor and external factor (the environmental factor that the system is operating in).

*Sixth*, some indicators are required to report are difficult to collect, even unable to collect. While others have only data at provincial level or district level. Some indicators have data but not accurate, reliable or data not reflect correctly the nature of issues under consideration.

*Seventh*, means for monitoring, managing the indicator set of the scheme has been invested systematically (although still being improved).

While the monitoring system and activities are basically formed, the evaluation system is still weak. The evaluation system uses entirely from the monitoring system and almost has no amendment.

Furthermore, evaluation is often implemented within the scope of project or program, while evaluation of policies is not available.

At the same time, there is almost no independent data or independent data is limited in many aspects. The national surveys do not have much information on policy review.

The monitoring and evaluation on the implementation of scheme has provided important practice basis for building, editing policies, but in order to this system operates effectively and meets requirement of managers, it is necessary to radical reform, including: Build an appropriate indicator system; Issue the mechanism for information collection and reporting which is strictly enforced; Modernize the management of objects is an urgent need of localities and implementation agencies; Build and implement the management information system to district level (or commune level) to ensure the timely and reliable information.

In term of build evaluation system: Develop scientific basis for evaluating the impact of the Scheme in a comprehensive and evidence-based manner; Build the monitoring and evaluation indicator set of the Scheme; Recommend to implement effectively the monitoring and evaluation indicator set

Regarding to developing and complete indicator set for monitoring: (1) This is an important step to meet the objective of the Scheme in the next period. The research proposes a monitoring and evaluation indicator set for new period on the basis of the inheritance of current indicators, reporting requirements and the supplement of new indicators to be consistence with the monitoring and evaluation requirements; (2) Indicators are designed by groups to be in line with the objectives of the Scheme. Indicators for each group of beneficiaries is categorized according to the general indicator and specific indicator of the group. Additionally, the core indicators (compulsory to collect) and additional indicators (lower priority or difficult to collect) are adjusted to be appropriate with conditions of each localities or with suitable point of time for

collecting; (3) Due to limitations in the management and collection of information, especially reporting from commune level to districts and provincial levels, and from provincial level to the central, there are some proposed indicators are still too theoretical; the applicability in wide scope has been yet been verified, so some recommendations are only for reference and need to be improved, especially through field testing to clearly identify which indicators are feasible, appropriate and able to collect, to determine the data sources./.

**Appendix 1**  
**CURRENT MONITORING INDICATORS**

	Name	Unit	Grouping	Implementation level	Frequency	Agency responsible for synthesis	Source	Evaluation
<b>A. CHILDREN</b>								
<b>1.0</b>	<b>Common indicators</b>							
1.01	Number of children (0-6 years old)	Person	- Gender	- Central - Province	Annually	- MOLISA - DOLISA	- National statistical yearbook - Provincial statistical yearbook	Can be collected, reliable
1.02	Number of children aged 0-16	Person	- Gender	- Central - Province	Annually	- MOLISA - DOLISA	- National statistical yearbook - Provincial statistical yearbook	Can be collected, reliable
1.03	Children are unable to live in the community	Person	- Gender	- Central - Province	Annually	- MOLISA - DOLISA	Statistical reporting system of labour sector	Not accurate data, need general review
1.04	Children with disability	Person	- Gender - Degree	- Central - Province	Annually	- MOLISA - DOLISA	Statistical reporting system of labour sector	Not accurate data, need general review
<b>2.0</b>	<b>Social protection indicators</b>							

	Name	Unit	Grouping	Implementation level	Frequency	Agency responsible for synthesis	Source	Evaluation
2.01	Number of children enjoying monthly social assistance in the community under decree no.136	Person	- Gender - Aged 0- < 4 and 4-6	- Central - Province	Annually	- MOLISA - DOLISA	Circular guiding Decree 136	Can be collected, reliable at provincial level, but not synthesized to central level
	<i>Number of orphans</i>							
	<i>Abandoned</i>							
	<i>Children with parents in jail or missing</i>							
2.02	Number of children enjoying monthly social assistance in the community under the Law on Person with disability	Person	- Gender - Aged 0- < 4; 4-6 - Severe, extreme severe	- Central - Province	Annually	- MOLISA - DOLISA	Circular guiding Decree 136	Can be collected, reliable at provincial level, but not synthesized to central level
2.03	Children are victims of trafficking enjoying assistance	Person	- Gender	- Central - Province	Annually	- MOLISA - DOLISA	Statistical reporting system of labour sector (child protection field)	Can be collected, reliable at provincial level, but not synthesized to central level
2.04	Number of abused children enjoying assistance	Person	- Gender	- Central - Province	Annually	- MOLISA - DOLISA	Statistical reporting system of labour sector (child	Can be collected, reliable at provincial level,

	Name	Unit	Grouping	Implementation level	Frequency	Agency responsible for synthesis	Source	Evaluation
							protection field)	but not synthesized to central level
2.05	Child labour	Person	- Gender	- Central - Province	Annually	- MOLISA - DOLISA	Census	Not have accurate data yet and not updated
<b>3.0</b>	<b>Education and health indicators</b>							
3.01	Number of preschool children enjoying monthly learning support	Person	- Gender	- Central - Province - District	Annually	- MOLISA - DOLISA - Division of LISA	Circular guiding Decree 49/74	Can be collected, reliable data at district level
3.02	Number of children enjoying monthly tuition fee support	Person	- Gender - Education level	- Central - Province - District	Annually	- MOLISA - DOLISA - Division of LISA	Circular guiding Decree 49/74	Can be collected, reliable data at district level
3.03	Number of children with disability enjoying access to education	Person	- Gender - Education level	- Central - Province - District	Annually	- MOLISA - DOLISA - Division of LISA	Circular guiding Law on persons with disability	Difficult to collect, need to synthesize from training institutions
3.04	Number of children with disability enrolling elementary school	Person	- Gender - Education level	- Central - Province - District	Annually	- MOLISA - DOLISA - Division of	Circular guiding Law on persons with disability	Difficult to collect, need to synthesize from training

	Name	Unit	Grouping	Implementation level	Frequency	Agency responsible for synthesis	Source	Evaluation
						LISA		institutions
3.05	Number of visually impaired pupils enjoying access to learning materials	Person	- Gender	- Central - Province - District	Annually	- MOLISA - DOLISA - Division of LISA	Circular guiding Law on persons with disability	Difficult to collect
3.06	Number of children aged 0-6 participating in vaccinations and basic health care by health insurance	Person	- Gender	- Central - Province	Annually	- MOH - DOH - Division of health	Preventive health care and child protection field	Not entirely accurate data due to leakage, but can be used
3.07	Number of children under 6 years enjoying support to purchase health insurance card	Person	- Gender - Types of beneficiary - Level of support	- Central - Province - District Commune	Annually	- MOLISA - DOLISA	Statistical reporting system of social insurance	Can be collected
3.08	Total fund for educational support for children by state budget	1000 Dong		- Central - Province - District	Annually	- MOLISA - DOLISA	Circular guiding Decree 49/74	Can be collected, reliable data at district level
3.09	Total fund for health insurance support for children by state budget	1000 Dong		- Central - Province - District	Annually	Elderly Association	Statistical reporting system of social insurance	Can be collected



	Name	Unit	Grouping	Implement ation level	Frequency	Agency responsible for synthesis	Source	Evaluation
				Commune				
<b>B. PEOPLE WITH DISABILITY</b>								
<b>1.0</b>	<b>General indicators</b>							
1.01	Total number of people with disability	Person	- Gender - Aged 0-16,16-60, 60+ - Level of support - Type of disability	- Central - Province	Annually	- MOLISA - DOLISA	Circular guiding Decree 136	Difficult to collect, need general review/census
1.02	Number of people with disability in poor households	Person	- Gender - Disability degree	- Central - Province	Annually	- MOLISA - DOLISA	Circular guiding Decree 136	Difficult to collect, need general review/census
1.03	Number of people with disability in near poor households	Person	- Gender - Disability degree	- Central - Province	Annually	- MOLISA - DOLISA	Circular guiding Decree 136	Difficult to collect, need general review/census
1.04	People with disability unable to live in the community	Person	- Gender - Disability degree	- Central - Province	Annually	- MOLISA - DOLISA	Circular guiding Decree 136	Can be collected
1.05	Number of households	Household		- Central	Annually	- MOLISA	Circular guiding	Can be collected

	Name	Unit	Grouping	Implement ation level	Frequency	Agency responsible for synthesis	Source	Evaluation
	with from 2 persons with severe/ extreme severe disability			- Province		- DOLISA	Decree 136	
<b>2.0</b>	<b>Social protection indicators</b>							
2.01	Number of people with severe disability enjoying monthly social allowances in the community under the Law on Persons with disability	Person	- Gender - Aged 0- 16,16-60, 60+ - Level of support	- Central - Province	Annually	- MOLISA - DOLISA	Circular guiding Decree 136 and 28	Can be collected, no accurate data at central level
2.02	Number of people with extreme severe disability enjoying monthly social allowances in the community under the Law on Persons with disability	Person	- Gender - Aged 0- 16,16-60, 60+ - Level of support	- Central - Province	Annually	- MOLISA - DOLISA	Circular guiding Decree 136 and 28	Can be collected, no accurate data at central level
<b>3.0</b>	<b>Educational and health indicators</b>							
3.01	Number of children with disability enjoying access to education	Person	- Gender - Education level	- Central - Province	Annually	- MOLISA - DOLISA	Circular guiding Law on persons with disability	Difficult to collect, need to synthesize from training institutions

	Name	Unit	Grouping	Implement ation level	Frequency	Agency responsible for synthesis	Source	Evaluation
3.02	Number of children with disability enrolling elementary school	Person	- Gender - Education level	- Central - Province	Annually	- MOLISA - DOLISA	Circular guiding Law on persons with disability	Difficult to collect, need to synthesize from training institutions
3.03	Number of visually impaired pupils enjoying access to learning materials	Person	- Gender	- Central - Province	Annually	- MOLISA - DOLISA	Circular guiding Law on persons with disability	Difficult to collect, need to synthesize from training institutions
3.04	Number of people with disability get vocational training	Person	- Gender - Disability degree	- Central - Province - District Commune	Annually	- MOLISA - DOLISA	Statistical reporting system of labour sector (vocational training area)	Difficult to collect, need to synthesize from training institutions
3.05	Total fund for support people with disability in access to educational services from state budget	1000 dong		- Central - Province - District Commune	Annually	- MOLISA - DOLISA	Circular guiding Law on persons with disability	Difficult to collect, synthesize
3.06	Total fund for support people with disability in access to health care services from non-state sources	1000 dong		- Central - Province - District Commune	Annually	- MOLISA - DOLISA	Circular guiding Law on persons with disability	Difficult to collect, synthesize

	Name	Unit	Grouping	Implement ation level	Frequency	Agency responsible for synthesis	Source	Evaluation
3.07	Number of people with disability is documented to tract disability status	Person	- Gender	- Central - Province - District Commune	Annually	- MOLISA - DOLISA	Reporting system of Health sector	Not have accurate data yet and not updated
<b>4.0</b>	<b>Indicators under law on person with disability</b>							
4.01	Number of people with disability are entitled to reduce transportation fares, service charges	Person	- Gender	- Central - Province	Annually	- MOLISA - DOLISA	Circular guiding Law on persons with disability	Difficult to collect
4.02	Number of television broadcasts of channels for people with disability	Times/ month		- Central - Province	Annually	- MOLISA - DOLISA	Circular guiding Law on persons with disability	Can be collected
4.03	Number of television channels using language for people with disability	Channel		- Central - Province	Annually	- MOLISA - DOLISA	Circular guiding Law on persons with disability	Can be collected
<b>C. THE ELDERLY</b>								
<b>1.0</b>	<b>General indicators</b>							
1.01	Total number of the elderly (>60 years old)	Person	- Gender - Aged 60-80 and 80+	- Central - Province	Annually	- MOLISA - DOLISA	- National statistical yearbook - Provincial	Can be collected

	Name	Unit	Grouping	Implement ation level	Frequency	Agency responsible for synthesis	Source	Evaluation
							statistical yearbook	
1.02	Number of the elderly unable to live in the community	Person	- Gender - Aged 60-80 and 80+	- Central - Province	Annually	- MOLISA - DOLISA	Circular guiding Decree 136 and 28	Need to review and update constantly
1.03	Number of the elderly are disabled	Person	- Gender - Aged 60-80 and 80+ -Disability degree	- Central - Province	Annually	- MOLISA - DOLISA	Circular guiding Decree 136 and 28	Need to review and update constantly
<b>2.0</b>	<b>Social protection indicators</b>							
2.01	Number of the elderly enjoying monthly social allowances in the community under the Law on the elderly	Person	- Gender - Aged 60-80 and 80+	- Central - Province	Annually	- MOLISA - DOLISA	Circular guiding Decree 136	Can be collected, no data at central level
2.02	Number of the elderly enjoying monthly social allowances in the community under the Law on persons with disability	Person	- Gender - Aged 60-80 and 80+ - Severe and extreme severe	- Central - Province	Annually	- MOLISA - DOLISA	Circular guiding Decree 136 and 28	Can be collected, no data at central level
<b>3.0</b>	<b>Indicators under the national action program on the elderly</b>							
3.01	Number of	Commune		- Central	Annually	- MOLISA	Circular guiding	Can be collected,

	Name	Unit	Grouping	Implementation level	Frequency	Agency responsible for synthesis	Source	Evaluation
	communes/wards/towns have fund for caring and promoting the role of the elderly			- Province - District		- DOLISA - Division of LISA	Decree 136	no data at central level
3.02	Total balance of the fund	1000 dong		- Central - Province - District	Annually	- MOLISA - DOLISA	Circular guiding Decree 136	Can be collected
3.03	Number of the elderly have health insurance card	Person	- Gender	- Central - Province - District Commune	Annually	- MOLISA - DOLISA - Division of LISA - Commune labour staff	Circular guiding Decree 136	Can be collected
3.04	Number of the elderly are provided health records	Person	- Gender	- Central - Province - District Commune	Annually	Elderly Association	Circular guiding Decree 136	Difficult to collect
<b>4.0</b>	<b>Indicators under the law on the elderly</b>							
4.01	Number of the elderly are entitled to reduce transportation fares, service charges	Person	- Gender	- Central - Province	Annually	- MOLISA - DOLISA	Circular guiding Decree 136	Difficult to collect
4.02	Number of voice	Times/		- Central	Annually	- MOLISA	Circular guiding	Can be collected

	Name	Unit	Grouping	Implementation level	Frequency	Agency responsible for synthesis	Source	Evaluation
	broadcasts channels for the elderly	month		- Province		- DOLISA	Decree 136	
4.03	Number of television broadcasts channels for the elderly	Times/month		- Central - Province	Annually	- MOLISA - DOLISA	Circular guiding Decree 136	Can be collected
4.04	Number of communes organize longevity celebration for the elderly	Commune					Circular guiding Decree 136	Can be collected
<b>D. POOR HOUSEHOLDS, NEAR POOR HOUSEHOLDS, ETHNIC MINORITY</b>								
<b>1.0</b>	<b>General indicators</b>							
1.01	Number of poor households	Household	- Ethnicity - Cause of poor	- Central - Province - District Commune	Annually	- MOLISA - DOLISA - Division of LISA - Commune labour staff	Circular guiding on poor households review	Can be collected but not grouping
1.02	Number of near poor households	Household	- Ethnicity	- Central - Province - District Commune	Annually	- MOLISA - DOLISA - Division of LISA - Commune	Circular guiding on poor households review	Can be collected but not grouping

	Name	Unit	Grouping	Implementation level	Frequency	Agency responsible for synthesis	Source	Evaluation
						labour staff		
1.03	Number of people in poor households	Person	- Gender - Aged 0-16, 16-60, 60+ - Ethnicity	- Central - Province - District Commune	Annually	- MOLISA - DOLISA - Division of LISA - Commune labour staff	Circular guiding on poor households review	Not collected yet at provincial and central level
1.04	Number of people in near poor households	Person	- Gender - Aged 0-16, 16-60, 60+ - Ethnicity	- Central - Province - District Commune	Annually	- MOLISA - DOLISA - Division of LISA - Commune labour staff	Circular guiding on poor households review	Not collected yet at provincial and central level
<b>2.0</b>	<b>Social protection indicators</b>							
2.01	Number of poor households are subject to social protection policy	Household	- Types of beneficiary	- Central - Province - District Commune	Annually	- MOLISA - DOLISA - Division of LISA - Commune labour staff	Circular guiding on poor households review	No accurate data at central level
2.02	Number of poor households have	Household	- Types of beneficiary	- Central - Province	Annually	- MOLISA - DOLISA	Circular guiding on poor households	No accurate data at central level



	Name	Unit	Grouping	Implement ation level	Frequency	Agency responsible for synthesis	Source	Evaluation
	beneficiaries of national devotee policy			- District Commune		- Division of LISA - Commune labour staff	review	
2.03	Number of near poor households have beneficiaries of national devotee policy	Household	- Types of beneficiary	- Central - Province - District Commune	Annually	- MOLISA - DOLISA - Division of LISA - Commune labour staff	Circular guiding on poor households review	No accurate data at central level
2.04	Number of poor households have beneficiaries of monthly social assistance in the community under the decree 136	Household	- Types of beneficiary	- Central - Province - District Commune	Annually	- MOLISA - DOLISA - Division of LISA - Commune labour staff	Circular guiding on poor households review	No accurate data at central level
2.05	Number of near poor households have beneficiaries of monthly social assistance in the community under the decree 136	Household	- Types of beneficiary	- Central - Province - District Commune	Annually	- MOLISA - DOLISA - Division of LISA - Commune labour staff	Circular guiding on poor households review	No accurate data at central level

	Name	Unit	Grouping	Implement ation level	Frequency	Agency responsible for synthesis	Source	Evaluation
2.06	Number of households enjoy electricity subsidy under decision 28	Household	- Type of household	- Central - Province - District Commune	Annually	- MOLISA - DOLISA - Division of LISA - Commune labour staff	Circular guiding on poor households review	No accurate data at central level
	Total fund for electricity subsidy	1000 dong		- Central - Province - District Commune	Annually	- MOLISA - DOLISA - Division of LISA - Commune labour staff	Circular guiding on poor households review	No accurate data at central level
2.07	Number of households enjoy light oil subsidy	Household	- Type of household	- Central - Province - District Commune	Annually	- MOLISA - DOLISA - Division of LISA - Commune labour staff	Circular guiding on poor households review	No accurate data at central level
	Total fund for light oil subsidy	1000 dong		- Central - Province - District Commune	Annually	- MOLISA - DOLISA - Division of LISA	Circular guiding on poor households review	No accurate data at central level

	Name	Unit	Grouping	Implementation level	Frequency	Agency responsible for synthesis	Source	Evaluation
						- Commune labour staff		
<b>3.0</b>	<b>Education and health indicators</b>							
3.01	Number of children in poor household enjoy learning expenses support	Person	- Gender - Types of beneficiary - Education level	- Central - Province - District	Annually	- MOLISA - DOLISA - Division of LISA	Guidelines of Decree 49/74	Available data at commune and district level
	Total fund for support	1000 dong		- Central - Province - District	Annually	- MOLISA - DOLISA - Division of LISA	Guidelines of Decree 49/74	Available data at commune and district level
3.02	Number of children in poor households enjoy monthly tuition fee support	Person	- Gender - Types of beneficiary - Education level	- Central - Province - District	Annually	- MOLISA - DOLISA - Division of LISA	Guidelines of Decree 49/74	Available data at commune and district level
	Total fund for support	1000 dong		- Central - Province - District	Annually	- MOLISA - DOLISA - Division of LISA	Guidelines of Decree 49/74	Available data at commune and district level
3.03	Number of people in poor households are	Person		- Central	Annually	- MOLISA	Statistical reporting system of labour	No data at central level

	Name	Unit	Grouping	Implement ation level	Frequency	Agency responsible for synthesis	Source	Evaluation
	granted health insurance card			- Province - District		- DOLISA - Division of LISA	sector	
	Total fund for health insurance card support	1000 dong		- Central - Province - District	Annually	- MOLISA - DOLISA - Division of LISA	Statistical reporting system of labour sector	No data at central level
3.04	Number of people in near poor households are granted health insurance card	Person		- Central - Province - District	Annually	- MOLISA - DOLISA - Division of LISA	Statistical reporting system of labour sector	No data at central level
	Total fund for health insurance card support	1000 dong		- Central - Province - District	Annually	- MOLISA - DOLISA - Division of LISA	Statistical reporting system of labour sector	No data at central level

*Source: Institute of Labour Science and Social Affairs (2015), project on social assistance reform, Annex 1.*

## **Appendix 2**

### **GUIDELINES FOR GROUP DISCUSSION**

Participants: Labor, Invalids and Social Affairs officials (at provincial and district level), Labor exporters (central and provincial level)

- Quantity: 10-15 persons / each discussion

#### **I. Introduction to the purpose of the discussion:**

- Purpose;

- Participants, time (120 minutes)

#### **II. Content**

1. Regarding to the formulation and direction of supervision and evaluation in the locality

- Construction and direction;

- Technical support to implement monitoring and evaluation activities at all levels;

- Raise the awareness of officials at all levels in monitoring and evaluating schemes;

- Ensure funds for monitoring and evaluation;

- Coordination mechanism in developing and implementing the monitoring and evaluation mechanism

2. The work of state management and organization in labor export in the locality

- The work of organization and management of the local government level;

- For labor export enterprises, organizations sending laborers to work overseas;

3. Organizing the implementation and application of the set of indicators for project monitoring and evaluation

- Organizing the propagation and dissemination of the set of monitoring and evaluation indicators;

- Training on implementation of monitoring and evaluation indicators;

- Developing a feedback channel on the implementation of the M & E indicator set

4. Monitoring indicators

- Results of the set of indicators;

- Group of output monitoring results;

- Recommendations to amend and supplement the set for better implementation

5. Conditions for applying the set of indicators

- Institutions and policies;

- Conditions for the application of the monitoring and evaluation indicators

## Appendix 3

### SURVEY QUESTIONNAIRE

*Contributing to the completion of study on “building the monitoring and evaluation indicator set for effective implementation of supporting scheme to poor households in improving labour export contributing to sustainable poverty reduction” Please provide some information on this survey form. All the information we receive will be used for the purpose of reference, completing the research topics. Therefore, we look forward to receiving your help. This questionnaire will be sent to the following address please:*

- Recipient: Le Ngoc Toan

- Address: Department of Overseas Labor, Ministry of Labor - Invalids and Social Affairs, 41B Ly Thai To Str, Hoan Kiem Dist, Hanoi, Vietnam;

- Email: [ngoctoan\\_le@yahoo.com](mailto:ngoctoan_le@yahoo.com)

A. Please tell us:

Name and surname ..... Title .....

Institute's name .....

Address: .....

Phone number.....

#### B. Content

Would you please comment on the following indicators:

#### I. Input indicator, operation indicator

Code	Input indicator, operation indicator	Strength/ limitation	Assessment	Reasons (if any)
<b>1. Indicators to control the objectives of the project</b>				
A1	Total fund as planned: - National fund - Local fund - Other sources			
A2	Total disbursed fund: - National fund - Local fund - Other sources			
A3	Number of enterprises participating in Scheme 71			
A4	Number of training			

	institutions participating in the Scheme			
A5	Number of state managers (full-time/ plurality) participating in the scheme			
A6	Number of employment consultation/introduction supported to establish			
A7	Number of staff involved in consultancy			
2. Indicators by each activity of the scheme				
A2.1a	Planned fund of communication activity: - National fund - Local fund - Other sources			
A2.1b	Disbursed fund of communication activity: - National fund - Local fund - Other sources			
A2.2a	Planned fund of complementary education activity: - National fund - Local fund - Other sources			
A2.2b	Disbursed fund of complementary education activity: - National fund - Local fund - Other sources			
3. Indicators on training before departing (vocational/language/necessary knowledge training)				
A3.1	Planned fund of training activity: - National fund - Local fund - Other sources			
A3.2	Disbursed fund of training			

	activity: - National fund - Local fund - Other sources			
Add an indicator for exit permit (passport, visa, health examination, judicial record)				
A	Support fund to exit permit			
4. Indicators on support workers in the scheme				
A4.1a	Planned fund of risk support: - National fund - Local fund - Other sources			
A4.1b	Disbursed fund of risk support: - National fund - Local fund - Other sources			
A4.2a	Planned fund of preferential credit: - National fund - Local fund - Other sources			
A4.2b	Disbursed fund of preferential credit: - National fund - Local fund - Other sources			
5. Indicators on funds for communication and training activities for staff of the scheme				
A5.1	Planned fund of improving management capacity: - National fund - Local fund - Other sources			
A5.2	Disbursed fund of improving management capacity: - National fund - Local fund			



	- Other sources			
<b>6. Indicators on fund for employment consultation/introduction activity</b>				
A6.1	Planned fund of employment consultation/introduction: - National fund - Local fund - Other sources			
A6.2	Disbursed fund of employment consultation/introduction: - National fund - Local fund - Other sources			

## II. Indicator set of outputs, results

Code	Indicator of outputs, results	Strength/ limitation	Assessment	Reasons (if any)
1. Indicators to control the objectives of the project				
B1.1	Number of workers going to work overseas			
B1.2	Rate of ethnic minority workers			
B1.3	Rate of Kinh workers in poor districts			
B1.4	Rate of workers in poor households			
B1.5	Rate of workers in near poor households			
B1.6	Rate of workers in non-poor households			
B1.7	Rate of workers receiving employment consultation/introduction in total workers returning home			
B1.8	Rate of employed people in total number of consulted workers			
2. Indicators by each activity of the scheme				
B2.1a	Number of propaganda			

	sessions			
B2.1b	Number of people propagated directly			
B2.2a	Number of worker received complementary education participating in labour export			
B2.2b	Rate of people meet requirements on general education level in total number of participants			
3. Indicators on training before departing (vocational/language/necessary knowledge training)				
B3.1	Number of vocational training, language and necessary knowledge institutions are supported to establish			
B3.2a	Number of people supported on necessary knowledge			
B3.2b	Number of people supported on language education			
B3.2c	Number of people supported on vocational training			
Add an indicator for exit permit (passport, visa, health examination, judicial record)				
	Number of people departing			
1. Indicators on support workers in the scheme				
B4.1a	Support to relatives of dead workers			
B4.1b	Support to accidents and sickness victims			
B4.1c	Support to other objective risks			
B4.1d	Support to enterprises (1 flight ticket)			
B4.1e	Other support funds			
B4.2a	Number of poor households eligible for preferential loans			
B4.2b	Rate of poor households received loans compared to the plan			
B4.2c	Number of poor households			

	with outstanding balance			
B4.2d	Number of ethnic minority households eligible for preferential loans			
B4.2e	Rate of ethnic minority households received loans compared to the plan			
B4.2f	Number of ethnic minority households with outstanding balance			
B4.2g	Number of households of other groups in poor districts eligible for preferential loans			
B4.2h	Rate of households of other groups received loans compared to the plan			
B4.2i	Number of households of other groups with outstanding balance			
<b>Addition</b>				
B4.1	Risk support			
<b>2. Indicators to support capacity building for managers of implementation organizations</b>				
B5.1	Number of investment projects supported to establish			
B5.2	Number of labour export support centers supported to establish			
B5.3	Number of people supported from labour export counseling activities			
B5.4	Number of electronic data centers, websites supported to establish			
B5.5	Number of networks of labour export collaborators are established			
B5.6	Number of newsletters/ publications			
B5.7	Number of TV shows			
B5.8	Number of radio shows			

B5.9	Number of other forms of propaganda			
3. Indicators on fund for employment consultation/introduction activity				
B6.1	Number of legal documents on mechanism, policies for labour export are issued			
B6.2	Number of programs, curriculums, documents on labour export are composed.			
B6.3	Number of training courses on labour export are organized			
B6.4	Number of participants working in labour export field are trained			
B6.5	Number of workshops, training sessions on labour export			
B6.6	Number of participants			
B6.7	Number of exit delegations			
B6.8	Number of delegators			
B6.9	Number of entry delegations			
B6.10	Number of delegators			
Addition				
	Number of people receive employment introduction/consultation			
	Number of people are consulted to use fund			

### III. Indicators on effectiveness, impact

Code	Indicators on effectiveness, impact	Strength/limitation	Assessment	Reasons (if any)
C1	Rate of households out of poverty thanks to labour export			
C2	Rate of households getting rich thanks to labour export			
C3	Number of people are			

	created jobs in Vietnam from labour export in poor districts			
C4	Rate of participants meet requirements of necessary knowledge training			
C5	Rate of participants meet requirements of language training			
C6	Rate of participants meet requirements of vocational training			
C7	Amount of loan and interest rate refunded on time			
C8	Amount of loan and interest rate not refundable			
C9	Rate of workers starting up their firms thanks to employment consultation/ introduction			
C10	Rate of workers employed through employment consultation/ introduction			

Thank you very much for your kind cooperation!

## Appendix 4.1

### INDICATOR SET OF CONTROLLING INPUT, OPERATION

Code	Input indicator, operation indicator	Strength/ limitation	Adjustment/ supplement	Result
<b>1. Indicators to control the objectives of the project</b>				
A1	Total fund as planned: - National fund - Local fund - Other sources	Able to track implemented funds, easy to collect	Must set up the local support funds	This indicator can be obtained (reach 3 criteria) - 80% agreed
A2	Total disbursed fund: - National fund - Local fund - Other sources	Divide by sources: difficult to collect at local		This indicator can be obtained (reach 3/4 criteria) – 84% agreed
A3	Number of enterprises participating in Scheme 71	No significant		Remove this indicator – 78% agreed
A4	Number of training institutions participating in the Scheme	No significant		Remove this indicator – 82% agreed
A5	Number of state managers (full-time/ plurality) participating in the scheme	No full-time staff		Remove this indicator - 77% agreed
A6	Number of employment consultation/introduction supported to establish	Not implement		Remove this indicator - 80% agreed
A7	Number of staff involved in consultancy	Not implement		Remove this indicator - 90% agreed
<b>2. Indicators by each activity of the scheme</b>				
A2.1a	Planned fund of communication activity: - National fund - Local fund - Other sources	Help tracking planned funds and implemented funds for communication	Must set up the local funds	Can be obtained (reach 4 criteria) - 95% agreed
A2.1b	Disbursed fund of communication activity: - National fund - Local fund			Can be obtained (reach 4 criteria) - 80% agreed

	- Other sources			
A2.2a	Planned fund of complementary education activity: - National fund - Local fund - Other sources	These indicators have not been implemented.  Can not be collected	Separate funds from Program 30a on complementary education for workers in poor districts participating in labour export	If separated, can be obtained (reach 2/4 criteria) - 75% agreed
A2.2b	Disbursed fund of complementary education activity: - National fund - Local fund - Other sources			
3. Indicators on training before departing (vocational/language/necessary knowledge training)				
A3.1	Planned fund of training activity: - National fund - Local fund - Other sources	These indicators help tracking funds of each activity	Remove local fund and other sources	Can be obtained (reach 4 criteria) - 85% agreed
A3.2	Disbursed fund of training activity: - National fund - Local fund - Other sources			Can be obtained (reach 4 criteria) - 90% agreed
Add an indicator for exit permit (passport, visa, health examination, judicial record)				
A	Support fund to exit permit	This indicator helps to track support fund to workers in exit permit	Add this indicator	Can be obtained (reach 4 criteria) - 90% agreed
4. Indicators on support workers in the scheme				
A4.1a	Planned fund of risk support: - National fund - Local fund - Other sources	This indicator states the total fund to support workers at risks  Vietnam Bank for Social Policies monitors separately for the scheme	Remove local fund and other sources	Can be obtained (reach 4 criteria) - 92% agreed
A4.1b	Disbursed fund of risk support: - National fund			Can be obtained (reach 4 criteria) - 95% agreed

	- Local fund - Other sources			
A4.2a	Planned fund of preferential credit: - National fund - Local fund - Other sources	Track total amount of preferential credit for workers	Vietnam Bank for Social Policies tracks the loans, repayments and balance. Remove local fund and other sources	Can be obtained (reach 4 criteria) - 96% agreed
A4.2b	Disbursed fund of preferential credit: - National fund - Local fund - Other sources			Can be obtained (reach 4 criteria) - 98% agreed
5. Indicators on funds for communication and training activities for staff of the scheme				
A5.1	Planned fund of improving management capacity: - National fund - Local fund - Other sources	Help to track the planned fund and implemented fund for capacity building for staff in charge of labour export	Remove local fund and other sources	Can be obtained (reach 4 criteria) - 98% agreed
A5.2	Disbursed fund of improving management capacity: - National fund - Local fund - Other sources			Can be obtained (reach 4 criteria) - 100% agreed
6. Indicators on fund for employment consultation/introduction activity				
A6.1	Planned fund of employment consultation/ introduction: - National fund - Local fund - Other sources	Help to track implemented fund for employment consultation/ introduction activity for workers after returning and advise on using fund.	Remove local fund and other sources Calculate the number of consultation turns and number of workers are consulted	Can be obtained (reach 4 criteria) - 100% agreed
A6.2	Disbursed fund of employment consultation/ introduction: - National fund - Local fund - Other sources			Can be obtained (reach 4 criteria) - 95% agreed



## Appendix 4.2

### INDICATOR SET OF OUTPUTS, RESULTS

Code	Indicator of outputs, results	Strength/ limitation	Adjustment/ supplement	Conclusion
1. Indicators to control the objectives of the project				
B1.1	Number of workers going to work overseas	Help managers in monitoring the implementation results of the scheme by each type of subjects		Can be obtained (reach 4 criteria) - 100% agreed
B1.2	Rate of ethnic minority workers			Can be obtained (reach 4 criteria) - 96% agreed
B1.3	Rate of Kinh workers in poor districts			Can be obtained (reach 4 criteria) - 95% agreed
B1.4	Rate of workers in poor households		No significant	Remove this indicator - 85% agreed
B1.5	Rate of workers in near poor households		No significant	Remove this indicator - 85% agreed
B1.6	Rate of workers in non-poor households		No significant	Remove this indicator – 90% agreed
B1.7	Rate of workers receiving employment consultation/introduction in total workers returning home	Number of overseas workers returning home are employed		Can be obtained (reach 4 criteria) - 90% agreed
B1.8	Rate of employed people in total number of consulted workers			
2. Indicators by each activity of the scheme				
B2.1a	Number of propaganda sessions	Policy consultancy for scheme’s subjects		Can be obtained (reach 4 criteria) - 100% agreed
B2.1b	Number of people propagated directly	Track the number of turns		Can be obtained (reach 4 criteria) -

				95% agreed
B2.2a	Number of worker received complementary education participating in labour export		No significant	Remove this indicator - 95% agreed
B2.2b	Rate of people meet requirements on general education level in total number of participants		No significant	Remove this indicator - 90% agreed
3. Indicators on training before departing (vocational/language/necessary knowledge training)				
B3.1	Number of vocational training, language and necessary knowledge institutions are supported to establish		Not implement	Remove this indicator – 90% agreed
B3.2a	Number of people supported on necessary knowledge	Can be collected. Track the number of students who did not complete the course	Rate of departed workers compared with number of people completing course	Can be obtained (reach 4 criteria) – 100% agreed
B3.2b	Number of people supported on language education			Can be obtained (reach 4 criteria) – 100% agreed
B3.2c	Number of people supported on vocational training			Can be obtained (reach 4 criteria) – 95% agreed
Add an indicator for exit permit (passport, visa, health examination, judicial record)				
	Number of people departing	Help to track overseas workers, to evaluate the effectiveness in poverty reduction		Can be obtained (reach 4 criteria) - 97% agreed
4. Indicators on support workers in the scheme				
B4.1a	Support to relatives of dead workers		No significant	Remove this indicator - 96% agreed
B4.1b	Support to accidents and sickness victims			Remove this indicator - 95% agreed

B4.1c	Support to other objective risks			Remove this indicator – 100% agreed
B4.1d	Support to enterprises (1 flight ticket)			Remove this indicator - 100% agreed
B4.1e	Other support funds			Remove this indicator
B4.2a	Number of poor households eligible for preferential loans			Can be obtained (reach 4 criteria) - 100% agreed
B4.2b	Rate of poor households received loans compared to the plan			Can be obtained (reach 4 criteria) - 90% agreed
B4.2c	Number of poor households with outstanding balance			Can be obtained (reach 4 criteria) - 95% agreed
B4.2d	Number of ethnic minority households eligible for preferential loans			
B4.2e	Rate of ethnic minority households received loans compared to the plan		No significant	Remove this indicator - 98% agreed
B4.2f	Number of ethnic minority households with outstanding balance			Can be obtained - 96% agreed
B4.2g	Number of households of other groups in poor districts eligible for preferential loans	Track the total amount of loans, repayment, outstanding balance of other beneficiaries in poor districts		Can be obtained (reach 4 criteria) - 95% agreed
B4.2h	Rate of households of other groups received loans compared to the plan		No significant	Remove this indicator - 90%
B4.2i	Number of households of other groups with outstanding balance		No significant	Remove this indicator - 100% agreed

<b>Addition</b>				
B4.1	Risk support	Track the total fund for risk support, number of workers returning before expire date by markets and types of objects		Can be obtained (reach 4 criteria) – 100% agreed
<b>5. Indicators to support capacity building for managers of implementation organizations</b>				
B5.1	Number of investment projects supported to establish		Cannot implement	Remove this indicator - 98% agreed
B5.2	Number of labour export support centers supported to establish		Cannot implement	Remove this indicator- 100% agreed
B5.3	Number of people supported from labour export counseling activities	Track the number of workers going overseas compared to total workers receive consultation		Can be obtained (reach 2/4 criteria) - 96% agreed
B5.4	Number of electronic data centers, websites supported to establish	Track through website	Difficult to implement for 1 scheme because of no support fund for enterprises	Can be obtained (reach 1/4 criteria) - 94% agreed
B5.5	Number of networks of labour export collaborators are established		No significant	Remove this indicator - 98% agreed
B5.6	Number of newsletters/ publications	Policy propaganda networks for labour export		Can be obtained (reach 4 criteria) - 95% agreed
B5.7	Number of TV shows			Can be obtained (reach 4 criteria) - 98% agreed

B5.8	Number of radio shows			Can be obtained (reach 4 criteria) - 97% agreed
B5.9	Number of other forms of propaganda			Can be obtained (reach 4 criteria) - 90% agreed
6. Indicators on fund for employment consultation/introduction activity				
B6.1	Number of legal documents on mechanism, policies for labour export are issued	No significant		Remove this indicator - 79 % agreed
B6.2	Number of programs, curriculums, documents on labour export are composed.			Remove this indicator - 100% agreed
B6.3	Number of training courses on labour export are organized			Remove this indicator - 95% agreed
B6.4	Number of participants working in labour export field are trained			Remove this indicator - 89% agreed
B6.5	Number of workshops, training sessions on labour export			Remove this indicator - 95% agreed
B6.6	Number of participants			Remove this indicator
B6.7	Number of exit delegations			Remove this indicator - 90% agreed
B6.8	Number of delegators			Remove this indicator -93% agreed
B6.9	Number of entry delegations			Remove this indicator - 90% agreed
B6.10	Number of delegators			Remove this indicator - 100% agreed

<b>Addition</b>				
	Number of people receive employment introduction/ consultation	Advice to workers after returning home for employment.		Can be obtained (reach 4 criteria)
	Number of people are consulted to use fund	The effectiveness of the scheme is sustainable poverty reduction		Can be obtained (reach 4 criteria) - 85% agreed

### Appendix 4.3

#### INDICATOR ON EFFECTIVENESS, IMPACT

Code	Indicators on effectiveness, impact	Strength/ limitation	Adjustment/ supplement	Conclusion
C1	Rate of households out of poverty thanks to labour export	Track the improvement of living standard thanks to labour export	Periodical survey	Can be obtained (reach 4 criteria) - 89% agreed
C2	Rate of households getting rich thanks to labour export		Difficult to collect	Remove this indicator - 91% agreed
C3	Number of people are created jobs in Vietnam from labour export in poor districts		No significant	Remove this indicator - 95% agreed
C4	Rate of participants meet requirements of necessary knowledge training	No significant		Remove this indicator - 98% agreed
C5	Rate of participants meet requirements of language training			Remove this indicator - 99% agreed
C6	Rate of participants meet requirements of vocational training			Remove this indicator - 95% agreed
C7	Amount of loan and interest rate refunded on time			Remove this indicator - 100% agreed
C8	Amount of loan and interest rate not refundable			Remove this indicator - 95% agreed
C9	Rate of workers starting up their firms thanks to employment consultation/ introduction	Can be collected		Remove this indicator - 100% agreed
C10	Rate of workers employed through employment consultation/ introduction			Remove this indicator - 100% agreed

## LIST OF REFERENCES

1. **Phan Chi Anh - Nguyen Khac Kim - Nguyen Xuan Khoi** (2002), “6 sigma”, New approach to management, Science and technology Publishing House, Hanoi
2. **Nguyen Ai Doan** (2000), “Efficiency and measurement”, Journal of Finance, Ministry of Finance, Hanoi
3. **Nguyen Ai Doan** (2003), “Macroeconomics”, National Political Publishing House, Hanoi
4. **Nguyen Thi Hong Batch** (2007), “Labour export in some South East Asian countries - experience and lessons learned, Social Science Publisher, Hanoi
5. **Tran Dinh Chinh** (2006), “Labour quality is a decisive factor in expanding the labour export market”, Journal of Labour - Social Affairs, no.278, page.13
6. **Nguyen Thanh Hoa** (2005), “Labour export in the trend of integration – opportunities and challenges”, Journal of Labour - Social Affairs, no.264, page.13
7. **Tran Thi Thu** (2006), “Improving the efficiency of labour export management of enterprises under current situation”, Labour and Social Affairs publishing house
8. **Tran Duc Khanh** (2004): “Management and control of human resrouces training quality according to ISO and TQM”, Education Publishing House, Hanoi
9. **Tran Ngoc Khue** (2007), “Leadership and Management Psychology”, Political Theory Publishing House, Hanoi
10. **Vu Cao Dam** (2009), “Scientific reseach methodology, Education Publishing House, Hanoi.
11. **Nguyen Dinh Phan** (2002), “Quality management in organizations”, Education Publishing House, Hanoi
12. **Nguyen Tran Que** (1995), “Determine the economic efficiency of social production enterprise and investment”, Social Science Publishing House, Hanoi
13. **Nguyen Ngoc Lam - Nguyen Van Thanh** (1993), “Scientific argument of the formation of enterprises in the economy. Organizational model and management mechanism of enterprises, especially state owned enterprises”, The national level scientific project KX03-06, in 1990-1995, Code 2049, Hanoi
14. **Harold Koonitz - Cyrll Odonnell - Heinz Weihrich** (1994), “Key issues of Management”, Science and Technology Publishing house, Hanoi
15. **Robert S.Kaplan & David P.Norton**, ”Balance Scorecard”, Young Publisher
16. **Asian Development Bank** (2003), “Serving and maintaining: Improving public



administration in a competitive world”, National Political Publishing House, Hanoi

**17. IOM (2016),** Migrant Smuggling Data and Research: A global review of the emerging evidence base

**18. IOM (2016),** Assessing the risks of Migration along the Central and Eastern Mediterranean Routes: Iraq and Nigeria as Case Study Countries.